

EXHIBIT D

IN THE UNITED STATES DISTRICT COURT
FOR THE SOUTHERN DISTRICT OF TEXAS
HOUSTON DIVISION

RAYMOND ALBERT RODRIGUEZ,

Plaintiff,

v.

ELI LILLY AND COMPANY;
LILLY USA, LLC; and
JULIA DAWN RAMOS,

Defendants.

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Civil Action 4:14-cv-00968

DECLARATION OF MELISSA A. POPA

I, the undersigned, Melissa A. Popa, state upon my personal knowledge as follows:

1. I am an adult over age 18 of sound mind and competent to testify as to all matters contained in this declaration. All matters contained in this declaration are based on my personal knowledge.

2. I started employment with Eli Lilly and Company ("Lilly") on May 2001. I am currently employed as a Human Resources Consultant in Lilly's global investigations department and have been in this role since October 2013. Immediately prior to this role, I was a Human Resources Consultant in Employee Relations since summer of 2010. My responsibilities as a Human Resources Consultant in Employee Relations also included conducting investigations.

3. One of my regular job duties is to investigate allegations of policy violations, including allegations of potential misconduct, such as call falsification; meal, expense, and call reporting; and non-compliance with Lilly policies.

4. Pursuant to Lilly's Red Book, all Lilly employees have an ethical obligation to report to the company any known or suspected violation of the law; company policies, standards, or procedures; and any requests to do something that might be a violation. Attached as **Exhibit 1**

is a true and correct copy of relevant excerpts of the Red Book in effect while Mr. Rodriguez was a sales representative.

5. Lilly maintains records regarding employees' training as part of its ordinary business practice. Among other topics, Mr. Rodriguez received training on promotional product samples, business meals with external parties, and documenting a sales call. Attached as **Exhibit 2** is a true and accurate copy of Mr. Rodriguez's training history. This record was created at or near the time of the events described in the document by or from information transmitted by individuals with personal knowledge and the records are made and retained by Lilly in the regular course of business. It is Lilly's regular business practice to retain such records.

6. Attached as **Exhibit 3** is a true and accurate copy of the investigation notes for the investigation Ms. Ramos and I conducted in September and October 2013 regarding Mr. Rodriguez. These notes were prepared at or near the time of the events described in the document by or using information transmitted by a person with personal knowledge and retained by Lilly in the regular course of business. It is Lilly's regular business practice to retain such records.

7. On September 3, 2013, District Sales Manager Julia Ramos forwarded to Lilly Human Resources an email she received from Syreeta Barrett, one of Mr. Rodriguez's coworkers. I included the text of Ms. Barrett's email in my interview notes on page three.

8. After reviewing the email, it is my understanding that Lilly Human Resources determined that the allegations warranted a formal investigation, and the investigation was assigned to me.

9. After I reviewed Ms. Barrett's allegations, I interviewed her for additional details and fact-gathering. Among other things, Ms. Barrett reported to me that Mr. Rodriguez told her that he never connected his TempTale monitor to his computer, which meant that Lilly Customer Information Quality would have no record of alarms. Ms. Barrett also provided very detailed information about a "sales call" on Dr. Ronald Killam. Ms. Barrett recalled that in mid-August, both she and Mr. Rodriguez visited Dr. Killam's office, and he was not there. Lilly's definition of a "sales call" requires a face-to-face interaction with a health care provider, but despite this, Mr. Rodriguez told her that he intended to record a "sales call" on Dr. Killam. Ms. Barrett refused to do so and reported that Mr. Rodriguez became "mad" because he wanted their calls to match up. Barrett also confirmed that Mr. Rodriguez told her that lunch sign-sheets were "not a big deal" and that "he is not going to bother the [doctors]" with tracking them down for a signature.

10. I consulted with Ms. Ramos about the investigation and asked her to contact Dr. Killam's office to determine whether he was in the office on August 20, 2013, which is the day on which Mr. Rodriguez had recorded a "sales call"—i.e., a face-to-face interaction—with him.

11. After gathering as much information as possible about the concerns Ms. Barrett expressed, including reviewing expense reports, lunch sign-in sheets, and Mr. Rodriguez's call history, Ms. Ramos and I interviewed Rodriguez on October 15, 2013. During the interview, Mr. Rodriguez's answers to our questions were at times inconsistent with each other and at other times inconsistent with what Ms. Barrett had reported. For example, when asked about the specific sales call with Dr. Killiam in August, Mr. Rodriguez initially described the call. His answer changed when confronted with the fact that Dr. Killiam had not been in the office that day. Both of these responses were inconsistent with Ms. Barrett's report that Mr. Rodriguez had

told her that he would be entering a call (deliberately) even though Dr. Killiam was not there.

12. During the interview, Mr. Rodriguez's answers were also inconsistent with Ms. Barrett's report that Mr. Rodriguez had boasted of ignoring his TempTale monitor.

13. After the interview and after Lilly Customer Information Quality received the electronic history from Mr. Rodriguez's two TempTale monitors, it was confirmed that not only were the TempTales in alarm status but that the history showed numerous instances of temperature variances outside the acceptable ranges, starting on June 11, 2013 (approximately four months earlier). One alarm had been triggered on June 11, 2013, and the second alarm had been triggered on June 29, 2013.

14. At the end of our investigation, Ms. Ramos and I concluded that Mr. Rodriguez had violated multiple Lilly policies and had committed "misconduct," which is an immediately separable offense. Dishonesty is just one example of misconduct.

15. Ms. Ramos and I concluded that Mr. Rodriguez falsified a sales call on Dr. Killam by deliberately recording a call on him even though he had not seen him. In reaching this conclusion, we credited Ms. Barrett's description of what had occurred, which was partly corroborated by our investigation (e.g., Ms. Barrett reported that Dr. Killiam was out of the office, and we confirmed that). We also concluded that Mr. Rodriguez was not forthright during the investigation about this sales call. We finally concluded that Ms. Barrett's report that Mr. Rodriguez encouraged her to also falsify a sales call was credible. Attached as **Exhibit 4** is a true and accurate record showing the sales call Mr. Rodriguez reported for Dr. Killam on August 20, 2013.

16. Ms. Ramos and I also concluded that Mr. Rodriguez misreported at least three office lunches because his expense reports did not match the accompanying sign-in sheets. For example, for a June 27, 2013, office lunch, Mr. Rodriguez reported on his expense records that 20 participants attended. However, the accompanying sign-sheet documents only 14 participants. For a July 18, 2013, office lunch, Mr. Rodriguez reported on his expense records that 20 participants attended, but he submitted a sign-in sheet with only 10 participant names. For a July 24, 2013, lunch, Mr. Rodriguez reported on his expense records that nine participants attended, but the accompanying sign-in sheet shows only five participant names. This violated Lilly's Policy on Business Meals with External Parties, which requires sales representatives to accurately report business meals—including the number of attendees. We also concluded that Ms. Barrett's report that Mr. Rodriguez encouraged her to similarly ignore Lilly's policy regarding business meals was credible. Attached as **Exhibit 5** are true and accurate copies of the expense reports in which Mr. Rodriguez reported the number of participants, and attached as **Exhibit 6** are true and accurate copies of the accompanying sign-in sheets.

17. Ms. Ramos and I also concluded that Mr. Rodriguez failed to monitor his TempTale monitors and failed to report TempTale alarms. Both of Mr. Rodriguez's TempTales were in alarm status and the history showed numerous instances of temperature variances outside the acceptable range, starting on June 11, 2013. Once the TempTale registers the alarm, it cannot be reset. Thus, the TempTales in Rodriguez's refrigerators had been registering an alarm continuously for approximately four months. Mr. Rodriguez never reported a TempTale alarm.

18. We further concluded that Ms. Barrett's report that Mr. Rodriguez encouraged her to similarly ignore TempTale monitors was credible. Just as importantly, however, we concluded that Mr. Rodriguez lied about his TempTale monitor. Mr. Rodriguez told us that he checked his

TempTale monitor “every day” and that the monitors had never alarmed. Because the TempTale monitors had alarmed and had done so months before the interview, Mr. Rodriguez either lied to us about checking the monitor every day or lied about the alarms not being triggered.

19. Call falsification and misreporting meals and expenses—and lying about these and other policy violations and encouraging a coworker to also violate Lilly policy—are considered misconduct, an immediately separable offense. Lying during an investigation, standing alone, is misconduct and an immediately separate offense.

20. Accordingly, Mr. Rodriguez’s employment was terminated for misconduct on October 17, 2013.

21. Whenever there is the potential that a field-based Lilly employee may be separated, a standard practice is to determine whether use of security personnel are appropriate. Security is used in the vast majority of these cases. Security personnel assist in securing company property, which includes samples and, here, the TempTale monitors. Nothing about Mr. Rodriguez personally, including any alleged disability, played any part in the decision about whether to use security personnel during his interview and to assist in collecting the TempTale monitors.

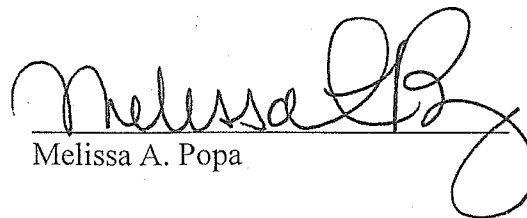
22. Mr. Rodriguez’s alleged disability and FMLA status, if any, were not factors in the decision to terminate his employment. Nor was his employment terminated in retaliation for taking leave or for making any complaints. Rather, Mr. Rodriguez was discharged due to his serious misconduct described above.

23. Based on my experience as a human resources consultant for Lilly, I am not aware of any employee who has been found to have committed the multiple instances of

misconduct Mr. Rodriguez committed but was not discharged.

Pursuant to 28 U.S.C. § 1746, I declare under penalty of perjury that the foregoing is true and correct.

Executed on April 13 2015.


Melissa A. Popa

Rodriguez v. Eli Lilly and Company, *et al.*

Declaration of Melissa A. Popa

Exhibit 1

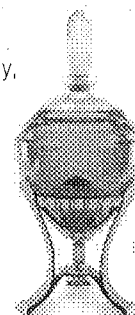


The Red Book

Code of Business Conduct 2012

In our competitive and ever-changing environment, one that is experiencing increased and vigilant scrutiny, doing things the right way, with reflection and conviction, provides Lilly with a competitive advantage.

John C. Lechleiter, Ph.D.



Lilly "Show Glass" from 1970s

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Overview

Our Code of Business Conduct, *The Red Book*, provides direction for conducting business consistent with the company's values, legal obligations, and policies and standards. It reminds us about the company's fundamental expectations for behavior we must meet or exceed every day. *The Red Book* demonstrates how to act with integrity, which is a key part of living the Lilly brand in our dealings with peers, supervisors, subordinates, patients and customers, government representatives, suppliers, business partners, and other external parties.

The Red Book is an important, foundational element of Lilly's brand, culture, and overall ethics and compliance program. *The Red Book* content is presented in a principles-based format. As in past years, Integrity in Action examples provide opportunities to practice applying the principles. (Please note that the names of companies and various product names and indications used in the examples are fictional and used for illustrative purposes only.) References are also provided to review when reading *The Red Book* or in the future.

The Red Book principles apply to all employees globally regardless of their jobs or geographic locations. Details to support *The Red Book* principles, and other elements of Lilly's ethics and compliance program, can be found in company policies, standards, and other materials available through the Global Ethics and Compliance LillyNet site or in areas where function-specific policies, standards, procedures, and other materials are stored. The company also provides additional job specific information and training to employees as appropriate for their responsibilities.

Refer back to the Integrity in Action examples in *The Red Book* as often as needed. If the facts of a particular example seem unrelated to your job, challenge yourself to think about other ways the principles illustrated apply to your specific role.

The Red Book applies not only to employees but to certain other external parties with whom Lilly has business dealings. It applies to:

- members of the Lilly board of directors when carrying out their duties as directors,
- certain business partners in the United States who are required to certify that they have a comparable code of conduct or to be trained on *The Red Book*, and
- some employees of third-party vendors to Lilly.

Expectations of other external parties globally are established by contract. Lilly employees in the U.S. who have questions about vendor code of conduct requirements should consult with the flexible staffing group in human resources, the procurement representative for their area, or an ethics and compliance representative. International employees who have questions on this topic should consult with representatives from Lilly Legal, procurement, and human resources.

The company expects that you will apply the knowledge you gain from *The Red Book*. You are expected to:

- act with integrity,
- think critically and ethically,
- apply good judgment, and
- follow the training you receive.

You will encounter different situations in your work, some of which may not be directly addressed in *The Red Book* or a company policy, standard, or procedure. If you have questions about applying legal and/or company requirements, it is your responsibility to ask for advice or clarification from your supervisor or other member of line management or other employees who have the right expertise. The important thing is that you recognize when you need to seek more information or assistance and that you actively seek it.



Key Principles: Compliance and Reporting

Conduct business with a commitment to ethical decision-making and compliance.

- **Understand and comply with all legal and company requirements** that apply to company business and to each of our specific jobs, including:
 - local laws and official orders and decrees that apply to company business; and
 - company policies and standards (global and local) and procedures.

Lilly is a global, public corporation organized in the United States that operates in a highly regulated industry. Some U.S. laws extend to the operations of Lilly and its affiliates throughout the world. In addition, Lilly is subject to laws of various countries, provinces, states, and organizations, some of which also apply across borders.

Wherever you conduct Lilly business, you must understand the requirements for that location.

- If the local laws and policies are **more** restrictive than *The Red Book* provisions or global company policies, you **must** conduct your activities in accordance with the more restrictive local requirements.
- If the company policy or standard is more restrictive than local law, you must meet the company's requirements unless an exception has been authorized for your geography or functional area.
- If you are conducting a business activity that touches participants from more than one country, you need to seek advice on all local laws and policies that could apply to the activity.
- If there is a conflict between the laws of two or more countries that apply to the same situation, consult a company attorney to understand how to

resolve the conflict properly. If there is a conflict between local policies, contact an ethics and compliance representative for advice.

- **Complete training on time.** This includes annual Red Book training and all other company-required training.
- **Seek information, clarification, or other assistance.** Ask for help when the ethical or legal thing to do is not clear. In some situations, it is not easy to know the correct action to take. If you are unsure about what to do, seek guidance from those with appropriate local knowledge and expertise. You may contact:
 - a supervisor or other member of line management,
 - human resources personnel,
 - a company attorney, or
 - ethics and compliance personnel.

Report any known or suspected violations.

- All employees have an ethical obligation to report to the company any known or suspected violation of the law; company policies, standards, or procedures; official orders or decrees that apply to company business; and any requests to do something that might be a violation. Local legal requirements and processes for reporting vary; see additional information below.
- Employees are also encouraged to report other ethical concerns or issues even if they do not relate directly to a law or company policy, standard, or procedure.
- Reports should be made not out of fear but out of respect for our customers, our business partners, for one another, and most importantly, for the patients who use Lilly medicines.
- The company expects employees to report concerns so that the company can evaluate the reports and identify and correct any problems promptly.

Because reporting processes vary depending on geographic location, employees must follow the reporting process established locally.

- Information explaining the various ways to make a report is provided at the Report a Concern page on the Global Ethics and Compliance LillyNet site.
- Lilly is required by U.S. law to offer a Hotline as one of the reporting options available to its employees.
- Lilly's Ethics and Compliance Hotline is available internationally and is operated by an independent company 24 hours a day, 7 days a week. The Hotline offers translation services and an anonymous reporting option. All reports made to the Hotline are referred to Lilly for evaluation by the appropriate company employees who have expertise in the subject matter of the report.

To contact the Hotline:

- In the United States, call 1.800.815.2481 or submit a report online at www.lillyethics.ethicspoint.com.
- In other locations **internationally**, employees may go to www.lillyethics.ethicspoint.com and select the country where the report is to be made. The correct telephone number will be provided for that country. International employees may also submit reports online at www.lillyethics.ethicspoint.com.
- In the European Union, Switzerland, and Turkey, local laws restrict the availability of the Hotline. For example, there are limits in these locations on the types of reports that can be accepted through the Hotline and restrictions on how the reports are received. For more specific information about reporting in these locations, see the Report a Concern page on the Global Ethics and Compliance LillyNet site.
- If you are uncertain about the appropriate processes or limitations for making reports in your location, please seek direction from your supervisor, a

human resources representative, an ethics and compliance representative, or a company attorney.

Report ethics and compliance concerns expressed by external parties.

- If anyone raises any ethics or compliance concern about the company with an employee, the employee should report the concern as outlined previously, following the local affiliate reporting process.
- In the United States, employees may also offer health care providers the option of making a direct report via:
 - the Health Care Provider Hotline: 1.877.237.8197 or
 - the Health Care Provider website available publicly on Lilly's website.

Employees must notify the company within five (5) calendar days if they are excluded or restricted in any other way from doing business with any government if the exclusion or restriction would prevent an employee from fulfilling his or her employment obligations.

The company promptly investigates all reports of ethical violations or non-compliance and determines whether there has been a violation.

- Concerns are reviewed and all related facts are considered. Corrective action is taken where appropriate. These actions may include any or all of the following, subject to local law:
 - revisions to a policy or standards,
 - enhanced employee training on a particular topic,
 - some action to mitigate a risk (e.g., eliminating an ergonomics hazard), or
 - feedback to or discipline of an employee, up to and including termination.

The company does not tolerate retaliation by any employee against another employee or any other person for:

- reporting actual or suspected violations, making a complaint, or otherwise bringing inappropriate conduct to the company's attention,
- preventing unlawful practices, or
- participating in an investigation, proceeding, or hearing.

It is critical that supervisors take appropriate measures to prevent retaliation in their areas of responsibility.

Employees are subject to disciplinary action, subject to local law, for:

- authorizing or participating in an activity that results in a violation of the law; company policies, standards, or procedures; or an official order or decree that applies to company operations,
- failing to report a violation or suspected violation,
- refusing to cooperate with the investigation of a suspected violation,
- retaliating against an individual who reports a suspected violation,
- failing to complete required training,
- making statements or reports or creating records the employee knows are false, or
- in the case of a supervisor, failing to detect a violation if this resulted from inadequate supervision.

Circumstances vary in each case involving the potential for disciplinary action by the company. Therefore, each situation is handled individually. The nature and level of any action taken will depend on the nature and severity of the problem, expectations of the position, and circumstances involved. If disciplinary action is warranted, subject to local law, it may range anywhere from a warning to termination of employment. In certain circumstances, individual employees could even be subject to criminal fines, imprisonment, and an official prohibition on working in the pharmaceutical industry.

References

If you have questions about the principles in this module, please see the following references.

- *Global Policy on Compliance*
- *Global Policy on Governance of Global Policies, Global Standards, and U.S.-All Policies*
- *Global Ethics and Compliance LillyNet site*
- *U.S. Policy on Compliance with Fraud and Abuse Laws and Whistleblower Protections*



Integrity in Action: Compliance and Reporting

Mariana's Morning in Manufacturing

Q: Mariana is the senior operator for a Puerto Rico manufacturing plant site and is being shadowed by Hector, a new hire, on his first day. When Mariana asks her colleagues for a volunteer to add a catalyst to the B reactor tank, Hector offers to help. Mariana asks Hector if he has been trained on the process. Hector states he did this activity many times for his previous employer. Is there anything that should concern Mariana about Hector's offer?

A: Hector's offer to help presents a concern because he should not engage in work activities at Lilly until he has completed proper training. Despite previous work experience and/or training received from another company, Hector should not participate in Lilly work activities until he has completed all Lilly training required for his new position. See the Global Policy on Compliance.

Q: Guillermo, Mariana's supervisor, overhears Mariana's conversation with Hector. Guillermo affirms that, although Hector has performed similar work in his previous position, he must complete all of the training Lilly requires before he can perform a task unsupervised at a Lilly plant. Hector acknowledges this clarification and also offers to share his previous employer's secret method of adding catalysts to reactor tanks. Is Lilly entitled to information Hector learned at another company?

A: No. Lilly is committed to respecting the trade secrets of others. Hector must not violate his obligation of confidentiality to his prior employer or any other third party. Mariana and Guillermo must not request or accept confidential information that belongs to an external party when Hector has no authorization to disclose it. See the Global Policy on Company and External Party Information Assets. If the expectations of this policy exceed requirements of local law, the policy expectations must still be met.

Q: Guillermo informs Mariana that he must go to a short meeting at another site and that he will check in with her after that meeting. On his way in to the other Lilly facility, Guillermo slips in an entryway that is wet with rainwater. He falls hard, strikes his head, and is knocked unconscious. Esteban, who is not a health care professional and has no emergency medical training, exits the same door moments later and finds Guillermo. What should Esteban do?

A: Guillermo is unconscious and may have a serious internal head injury. The appropriate immediate action is for Esteban to contact the local Lilly security team and inform local management. He should also stay with Guillermo until qualified medical help arrives. Esteban should not attempt to move Guillermo, or to assess or treat Guillermo's injuries himself, as he could make the injuries worse. If this incident happened at a site where there is no local site security, it would be appropriate to instead call the local public emergency service. See the Global Policy on Health, Safety, and the Environment. If Esteban were a health care professional or had otherwise received emergency medical training that qualified him to administer first aid, he could also have provided such aid to the extent qualified by this training, while he awaited the emergency responders.

Q: Mariana receives news that Guillermo had an accident. She sends an e-mail to all her coworkers to inform them of the accident and that Guillermo will not be back at the plant today. She instructs her colleagues to contact her if they need assistance from a supervisor. Mariana's e-mail also explains that Guillermo suffered a terrible concussion and will spend several days in the hospital. She invites them to stop by her desk to sign a card to wish Guillermo a speedy recovery. Was it acceptable for Mariana to send this message?

A: It depends on whether Mariana had permission from Guillermo to share his private medical information. Employees must not share personal medical information about others without specific permission. Although it was acceptable for Mariana to inform colleagues of the fact that Guillermo had an accident, it is unlikely that Guillermo was in any condition to even speak to Mariana, let alone authorize her to share the details about his personal medical injuries. See the Global Policy on Privacy and Data Protection.

Q: If this incident happened in the European Union, what would be the acceptable way to report Mariana's privacy violation?

A: It would NOT be appropriate to report this incident in the European Union using the company's Ethics and Compliance Hotline. The Hotline may NOT be used in the EU to report matters unless they relate to accounting, auditing, banking, bribery, internal controls, or financial issues. Since this matter pertains to privacy, the situation should be reported through another channel following the approved local reporting processes, for example, to a representative from human resources or ethics and compliance, or to the local affiliate or site committee designated to receive such reports. See the Global Policy on Compliance.



Bianca and the Booth

Q: Bianca is a sales representative working at a Lilly promotional booth at a global congress on oncology. Dr. Baudet stops by the booth and tells Bianca she has heard that Lilly recently received approval for a drug for the treatment of bone cancer in adults. Dr. Baudet requests information about the treatment of adolescents with this new drug, as many of her patients are children. Bianca responds that, since the drug is not approved for use in adolescent patients, she cannot answer her questions. She offers to refer the doctor to a medical contact who can. Dr. Baudet says she has a patient who is really struggling, and she asks if Bianca could please just provide her with the information immediately. How should Bianca respond?

A: In this context, the best option is for Bianca to refer Dr. Baudet to a medical colleague in the Lilly medical booth or request the doctor's contact information so that a Lilly medical representative can reply to her directly. See the Global Policy on Ethical Interactions with External Parties and the Global Standards on Disclosing Off-Label Information.

Q: The next physician to approach Bianca in the booth is Dr. Gomez. He tells Bianca that he has been impressed with Lilly's charitable activities, notably Lilly's support for multiple drug-resistant tuberculosis programs. He explains that many of the people who live where he practices medicine do not have much access to health care. He explains further that his practice group is opening a new clinic to make health care more accessible. Screening and educational programs will be offered so that symptoms can be identified early enough to initiate treatment before diseases become advanced.

Dr. Gomez explains to Bianca that education is critical but that the clinic budget is very small. He asks if Lilly would be willing to fund an educational program about the benefits of cancer screening. How should Bianca respond to Dr. Gomez?

A: Bianca must advise Dr. Gomez that all requests for grants or donations need to be submitted through the appropriate local Lilly review process, ask him to apply through that process, and explain that grant requests are evaluated by a special review committee. Requests for grants or donations must not be solicited by Lilly employees. See the Global Standards on Grants and Donations. Bianca should follow the training she was given on where to refer Dr. Gomez to submit his request. Bianca should not assist Dr. Gomez in preparing the application, and she must not promise Dr. Gomez any funding or encourage the review committee to approve the funding.



Rodriguez v. Eli Lilly and Company, *et al.*

Declaration of Melissa A. Popa

Exhibit 2

Student Training History

For History Between 01/01/1900 and 04/22/2014

Personnel Number	Full Name	Division	Organizational Unit
607262	Rodriguez, Ray	UNASSIGNED	Leaves and Exits Lilly USA, LLC

BET ID	Abbreviation	BET Title	Revision Number	Completion Date	Status
22736	AD01009	Safety Orientation	3	02/15/2000	Completed
22738	AD01011	SHELTER IN PLACE	2	02/15/2000	Completed
22745	AD02D01	DSOP 1 Estab. and Maint. SOPs		02/16/2000	Completed
22776	AD02D05	DSOP 5 DSOP training		02/16/2000	Completed
60272	AD03023	Ergosmart		02/17/2000	Completed
22940	VLCDN1497	ErgoSmart		02/17/2000	Completed
70192	IS02015	Info.Asset Protect Policy		02/28/2000	Completed
22820	AL02003	SYSTEM MECHANICS		03/07/2000	Completed
22776	AD02D05	DSOP 5 DSOP training		03/29/2000	Completed
24010	MF16033	CORP. INTRO TO G.M.P.	3	05/03/2000	Completed
22923	DC03060	STRUCTURED WRITING	1	05/15/2000	Completed
22745	AD02D01	DSOP 1 Estab. and Maint. SOPs		07/06/2000	Completed
23937	GL22045	Fraud: Causes and Detection		07/17/2000	Completed
24525	RA02031	DocMan CBT	1	10/10/2000	Completed
60238	AD02D28	FACILITIES CHANGE CONTROL 314		12/21/2000	Completed
39008	AD03034	Good Documentation Practices		12/21/2000	Completed
71816	LRTD355	Advanced Photoshop		01/02/2001	Completed
38983	AD02D55	Pest Control for Bldg 312/314	1	06/11/2001	Completed
50522	MF16035	Chgs to Corp Quality Policies	1	07/24/2001	Completed
22750	AD02D05	DSOP 5 DSOP training	4	08/31/2001	Completed
22903	CCS0001	Computer System Validation Po	1	10/01/2001	Completed
28214	CCS0004	Appropriate Use of Electronic Resources	1	10/01/2001	Completed
28218	CCS0006	Policies, Procedures and Tools	1	10/01/2001	Completed
22910	CCS0008	Elect.Records/Elect.Res.Proce	1	10/01/2001	Completed
23997	IS40017	Application Source Code Rev.		10/01/2001	Completed
39025	AD15002	GMP Update	1	10/04/2001	Completed
24014	MF16226	Overview of the DQS		10/04/2001	Completed
38676	MF16551	GMP UPDATE - WEB BASED!	0	10/04/2001	Completed
22904	CCS0002	Physical & Logical Sec Policy	1	10/29/2001	Completed
28212	CCS0003	Computer System Virus Protection	1	10/29/2001	Completed
28216	CCS0005	Use of Temporary Electronic Media	1	10/29/2001	Completed
22909	CCS0007	Elect.Records;Elect resource	1	10/29/2001	Completed

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Student Training History

For History Between 01/01/1900 and 04/22/2014

Personnel Number	Full Name	Division	Organizational Unit
607262	Rodriguez, Ray	UNASSIGNED	Leaves and Exits Lilly USA, LLC

BET ID	Abbreviation	BET Title	Revision Number	Completion Date	Status
23996	IS30006	Software Vendor Assess-Select		10/29/2001	Completed
22921	DC01010	Global New Employee Orientation	1	12/03/2001	Completed
67657	EN02408	PIT Crew School 101		12/05/2001	Completed
49371	KLM0652	LM065#2 OPERATIONAL CHECK OF		01/08/2002	Completed
49963	KYA1673	YA167#3 LUBRICATION OF		01/08/2002	Completed
49278	KLE0514	LE051#4 CALIBRATION OF KAYE		01/10/2002	Completed
49150	KHH0544	HH054#4 CLEAN STEAM GENERATOR		01/14/2002	Completed
49243	KLA0672	LA067#2 CALIRATION CHECK FOR		01/14/2002	Completed
49265	KLC0702	LC070#2 PM PROCEDURE FOR THE		01/14/2002	Completed
49824	KRM0514	RM051#4 INSPECTION/CLEANING		01/14/2002	Completed
49926	KYA1095	YA109#5 CENTAC AIR COMPRESSOR		01/14/2002	Completed
47134	EN03502	Partners in Leadership	1	02/08/2002	Completed
22931	DC05014	TARGETED SELECTION	1	02/11/2002	Completed
49029	KGA0154	GA015#4 DEVIATION AND	1	02/26/2002	Completed
44526	DC04029	INTER FOR EFFECTIVE LDRSHIP	1	03/08/2002	Completed
43430	CP23002	Intro to SPC	1	04/25/2002	Completed
111821	MF16901	Quality Boot Camp	2	04/25/2002	Completed
52941	PESY101	MAXIMO LEVEL 1	1	04/26/2002	Completed
80104	VLCLEAP Ovw	LEAP-LDS Overview	01	06/08/2002	Completed
36071	GBWPL36	Workplace3-Training and Development	3.0	07/01/2002	Completed
80104	VLCLEAP Ovw	LEAP-LDS Overview	01	08/06/2002	Completed
47897	HS14000	CONCEPTS, ALLERGY PREVENTION	1	08/13/2002	Completed
79978	LEAP-LDS	LEAP-LDS	01	09/16/2002	Completed
37453	MF16551	GMP UPDATE - WEB BASED	6	09/26/2002	Completed
50355	LTHS999	Back Safety	1	10/08/2002	Completed
49034	KGA0314	GA031#4 RETENTION OF RECORDS	1	11/26/2002	Completed
49066	KGA0861	GA086#1 GOOD DOCUMENTATION	1	11/26/2002	Completed
22944	VLCDCO2356	Performance Management CBT	1	11/26/2002	Completed
47902	HS14061	BLOODBORNE PATHOGEN AWARENESS	1	12/06/2002	Completed
52650	PE00076	Environmental Awareness	1	12/06/2002	Completed
52708	PEGE041	Environmental ?s for maint.	1	12/06/2002	Completed
52941	PESY101	MAXIMO LEVEL 1	1	01/01/2003	Completed

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607262	Rodriguez, Ray	UNASSIGNED	Leaves and Exits Lilly USA, LLC

BET ID	Abbreviation	BET Title	Revision Number	Completion Date	Status
86155	IS01267	OneRAS Multimedia Training	1	01/07/2003	Completed
49031	KGA0188	GA018#8 PREPARATION, REVIEW,		01/13/2003	Completed
98736	MF16213	Intro to Prod. Quality System	6	01/13/2003	Completed
49086	KGA1091	GA109#1 INDIANAPOLIS AND	1	01/14/2003	Completed
49088	KGA1131	GA113#1 CONDUCT OF INDPLS.	1	01/14/2003	Completed
49091	KGA1171	GA117#1 MANAGEMENT OF NEW OR		01/14/2003	Completed
101267	MF16551	GMP UPDATE	7	01/29/2003	Completed
24438	PA05001	Tools&Techniques of Proj. Mgt	1	02/04/2003	Completed
52066	P016132	Corp. Procedure 016132-006	6	02/21/2003	Completed
51996	P001723	CORP 001723 - Use of GMP Consultants...	5	02/22/2003	Completed
52123	P023097	Corp. Procedure 023097-002	2	02/22/2003	Completed
101267	MF16551	GMP UPDATE	7	02/25/2003	Completed
104091	QQ00400	GIMS Business Process	7	02/26/2003	Completed
104093	QQ00402	GIMS Docu. Deviation Investigations	7	02/26/2003	Completed
99730	QQ00410	GIMS Updating Countermeasures/Actions	5	02/26/2003	Completed
99731	QQ00411	GIMS Documenting Incidents	5	02/26/2003	Completed
99523	QQ00412	GIMS Documenting Root Cause Investigatio	5	02/26/2003	Completed
99522	QQ00413	GIMS Orientation	5	02/26/2003	Completed
99394	QQ00414	GIMS Review/Approve RCIs/Deviation Rpts.	6	02/26/2003	Completed
49073	KGA0941	GA094#1 PREVENTIVE MAINT.	1	04/07/2003	Completed
49075	KGA0971	GA097#1 REPORTING OF QUALITY	1	04/07/2003	Completed
49077	KGA1001	GA100#1 DEVELOPMENT AND	1	04/07/2003	Completed
49083	KGA1061	GA106#1 USE AND MAINTENANCE	1	04/07/2003	Completed
49085	KGA1081	GA108#1 COMPUTERIZED MAINT.	1	04/07/2003	Completed
49064	KGA0841	GA084#1 ROLES AND RESPONSIBIL	1	04/09/2003	Completed
49065	KGA0851	GA085#1 PERSONNEL SANITATION,	1	04/09/2003	Completed
49071	KGA0921	GA092#1 GMP SELF-INSPECTION	1	04/09/2003	Completed
86339	QQ00500	GCMS Basics	5	04/22/2003	Completed
86332	QQ00501	GCMS Change Owner	6	04/22/2003	Completed
107637	KGA0189	GA018#9 PREP, REV,APP, QUAL,EQ SOP	9	05/02/2003	Completed
49033	KGA0244	GA024#4 CONTRACTOR MANAGEMENT	1	05/02/2003	Completed
108366	KGA0782	GA078#2 JOB AIDS PREP,REV,RVW,APPR,DIST	2	05/02/2003	Completed

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101658	KGA0932	GA093#2 CH CTL EQUIP,SYS,COMP SYS,FACILI	2	05/02/2003	Completed
114181	KGA0156	GA015#6 DEVIATIONS IN FAC. MAN AREA	6	05/06/2003	Completed
44520	DC03110	Team Insights	1	05/07/2003	Completed
114134	KGA0494	GA049#4 NOTIFICATIONS OF INCIDENTS GMP	4	05/08/2003	Completed
105853	VLC4783	Operation Screen Door:Telephone Security	1	05/14/2003	Completed
112304	HS40002	Allergy Prevention for Mainten Personnel	1	05/15/2003	Completed
115245	KGA0315	GA031#5 RET. OF REC. FOR GMP PROC ENG,MA	5	05/20/2003	Completed
109689	P023129	CORP 023129 - Approved Exclusions...	3	06/02/2003	Completed
41484	CL24404	WRITING PROCEDURES	2	06/11/2003	Completed
117854	KGA1501	GA150#1 PM PROCEDURE DEV,REVIEW,APPR,DEC	1	07/22/2003	Completed
122206	RED BOOK	The Red Book: Code of Business Conduct	1	09/22/2003	Completed
125576	KGA1062	GA106#2 USE, MAINT. GPEM LIBRARY	2	10/01/2003	Completed
124322	KQC0021	QC002#1 GMS DEVIATIONS	1	10/02/2003	Completed
121480	KOP0011	OP001#1 OPTG. PROC. FOR PROC COORDINATIO	1	10/28/2003	Completed
52941	PESY101	MAXIMO LEVEL 1	1	10/31/2003	Completed
23961	HS17050	FIRE SCHOOL CBT	1	11/18/2003	Completed
127682	KQC0011	QC001#1 CHANGE CONTROL	1	01/12/2004	Completed
111701	HS02093	ELECTRICAL SAFETY AWARENESS	2	01/27/2004	Completed
122853	HS14031	Hazard Communication	2	02/09/2004	Completed
22935	DC05023	Empowering a Diverse Workforce	1	02/20/2004	Completed
138603	KQM0011	QM001#1 GPEM Intro to the Quality Manual	1	03/04/2004	Completed
138605	KQMM01	GPEM Quality Manual Overview	1	03/04/2004	Completed
125648	PESA047	PESA047 GENERAL SAFETY TRAINING	1	03/05/2004	Completed
122857	HS18023	Concepts of Personal Protective Equip	2	04/12/2004	Completed
121164	MAXIMO U RPT	MAXIMO BO Interface User Training	1	04/27/2004	Completed
127444	MF16551	2004 GMP Update	8	05/13/2004	Completed
142261	KOP0012	OP001#2 OPTG. PROC. FOR PROC COORDINATIO	2	05/19/2004	Completed
105091	VLC5976	Principles of Marketing: Fundamentals	1	05/25/2004	Completed
138994	BASICGEL	Basic GEL (Documentum)	1	06/03/2004	Completed
138948	INTERMGEL	Intermediate GEL (Documentum)	1	06/04/2004	Completed

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137276	KGA1511	GA151#1 Proc. Folder Management	1	06/04/2004	Completed
143093	Brand Game	Lilly Brand Game, The	1	07/06/2004	Completed
142259	KGA018B	GA018#11 PREP, REV,APP, QUAL,EQ SOP	11	08/25/2004	Completed
143199	KGA1063	GA106#3 USE, MAINT. GPEN LIBRARY	3	08/25/2004	Completed
143070	VLC7564	Protect Lilly: It's Your Business	1	09/01/2004	Completed
128214	MF16550	Introduction To FDA Inspections	6	09/03/2004	Completed
47141	EN13150	Root Cause Analysis	1	09/12/2004	Completed
115714	VLC6684	Company Records Retention Schedule	1	09/28/2004	Completed
145363	KGA1093	Training Administration Program	3	10/22/2004	Completed
111493	HS20003	BACK SAFETY	2	10/28/2004	Completed
141302	KGA1502	GA150#2 PM PROCEDURE DEV,REVIEW,APPR,DEC	2	11/29/2004	Completed
156152	KQC0022	DEVIATIONS	2	12/03/2004	Completed
22940	VLCDCN1497	ErgoSmart		12/03/2004	Completed
166363	KGA018C	Dev., Review, approval, & Decom. of SOPs	12	01/17/2005	Completed
161220	KQC0012	QC001#2 CHANGE CONTROL	2	02/07/2005	Completed
168256	KGA1082	GA108#2 COMPUTERIZED MAINT.	2	02/16/2005	Completed
23961	HS17050	FIRE SCHOOL CBT	1	03/21/2005	Completed
110952	VLC5984	Effective Meeting Communications	1	03/21/2005	Completed
105081	VLC5978	Interpersonal Comm: Listening Skills	1	04/06/2005	Completed
23962	HS17055	SIMULATOR FIRE EXTINGUISH USE	1	05/11/2005	Completed
177431	KOP0014	SOP for Procedure Coordinators	4	05/13/2005	Completed
176878	KQC0091	Good Documentation Practices	1	05/23/2005	Completed
178872	KQM0012	Quality Manual Training	2	06/09/2005	Completed
138207	HS14033	Office Safety	1	07/05/2005	Completed
177302	KQC0023	DEVIATIONS	3	07/05/2005	Completed
181613	KGA1512	CMMS Document Folders Management	2	08/03/2005	Completed
184762	RED BOOK-US	The Red Book - US Only	2	09/09/2005	Completed
186879	KGA1064	GMP Library Use and Maintenance	4	09/26/2005	Completed
133540	HS14062	BLOODBORNE PATHOGEN AWARE NO HANDLING	1	11/01/2005	Completed
169336	MF16551-009	2005 GMP Update	9	11/07/2005	Completed
205362	KQC0093	Good Documentation Practices	3	03/20/2006	Completed

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206221	KGA1083	Maintaining Information in the CMMS	3	04/13/2006	Completed
206979	KQM0013	GEM Quality Manual Training	3	04/13/2006	Completed
206659	KQC0013	CHANGE CONTROL	3	04/19/2006	Completed
112304	HS40002	Allergy Prevention for Mainten Personnel	1	05/03/2006	Completed
207600	KGA1503	DEV.REV.APRV.DEC MAINT WORK INSTRUCTIONS	3	05/03/2006	Completed
206659	KQC0013	CHANGE CONTROL	3	05/03/2006	Completed
206715	KQC0024	Deviations	4	05/03/2006	Completed
169769	QQ00411	QQ00411 GIMS Documenting Incidents	6	05/26/2006	Completed
210331	KGA018F	Develop Review Approve & Decomm of SOPs	15	06/06/2006	Completed
210330	KOP0016	Operating Procedure for Procedure Coordi	6	06/06/2006	Completed
213799	KGA1065	GMP Library Use and Maintenance	5	08/02/2006	Completed
207981	Protect LLY	Protect Lilly: It's Your Business	2	09/27/2006	Completed
208446	PESA048	Behavior-Based Safety - Employees	1	10/11/2006	Completed
204833	LLI_40,000	40,000 Stories. One Lilly	1	10/13/2006	Completed
209602	MF16551-010	2006 Quality Update	10	10/30/2006	Completed
232461	RED BOOK-USD	DELTA TRAINING: The Red Book - US Only	2.5	11/14/2006	Completed
235351	IT08G50678	Regulus Reviewers and Approvers	1	01/04/2007	Completed
201160	CAPA101	Introduction to the Lilly CAPA System	1	03/16/2007	Completed
208819	CAPA201	Intro to TrackWise (Lilly CAPA System)	01	03/16/2007	Completed
201161	CAPA102	Event Management in the Lilly CAPA Sys.	1	03/19/2007	Completed
208822	CAPA203	Event Originator Activities in TrackWise	01	03/23/2007	Completed
208869	CAPA204	Lead Investigator Activities inTrackWise	01	03/23/2007	Completed
213811	IT04G10381	Global Records Management Overview	1	03/29/2007	Completed
201162	CAPA103	Being an Executor in the Lilly CAPA Sys	1	04/11/2007	Completed
201163	CAPA104	Being an Event Originator in CAPA	1	04/16/2007	Completed
249705	KQC0025	Deviations	5	04/16/2007	Completed
201164	CAPA105	Being a Lead Investigator in CAPA	1	04/23/2007	Completed
125648	PESA047	PESA047 GENERAL SAFETY TRAINING	1	05/01/2007	Completed
101369	VLCLAW4887	Employee Conduct in the Workplace	2	05/01/2007	Completed
194878	GPT	Global Privacy Training	1	05/02/2007	Completed
239517	KQC0094	Good Documentation Practices	4	05/02/2007	Completed
246583	KQM0015	GEM Quality Manual Overview	5	05/02/2007	Completed

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125648	PESA047	PESA047 GENERAL SAFETY TRAINING	1	05/03/2007	Completed
240880	IT08G50727	Regulus Document Controller Training	1	05/09/2007	Completed
238578	KQC0014	Change Control	4	06/12/2007	Completed
208821	CAPA202	Executor Activities in TrackWise	01	06/19/2007	Completed
260242	KGDM1001	Document Lifecycle Management & Regulus	1	09/19/2007	Completed
264954	RED BOOK-US	The Red Book - US Only	4	09/19/2007	Completed
50258	LRTD335	Influencing and Negotiating	1	09/20/2007	Completed
259073	KQC0095	GMP Documentation and Data	5	09/21/2007	Completed
258297	KGA2232	HSE Event & Safety Observation Reporting	2	10/01/2007	Completed
170884	MF30545	Intro to Lilly Global Quality Systems	1	10/01/2007	Completed
203064	MF30550-002	Quality System Overview	2	10/01/2007	Completed
266972	ENQUALUPDATE	LL-Eng. 2007 Quality Update-11	11	10/08/2007	Completed
257323	KQC0015	Change Control	5	10/12/2007	Completed
267217	NTPESA055	SS-Indpls Facilities mngmt HSE Policy	1	10/19/2007	Completed
267311	KGA2233	SS-HSE Event& Sfty Observation Reporting	3	01/02/2008	Completed
201354	HS20102	Workstation Safety Plus	1	01/03/2008	Completed
268922	KGS1181	SS-Managing Health & Safety Events	1	01/03/2008	Completed
276005	KQM0017	CBT-Quality Manual	7	01/07/2008	Completed
272143	BCP-DMS-0011	SS-Doc Lifecycle Mgmt-If Elec Sys Failur	1	05/06/2008	Completed
287217	KQC0015Delta	DELTA - Change Control	5.5	05/06/2008	Completed
287215	KQC0026Delta	DELTA - Deviations	6.5	05/06/2008	Completed
280737	EN05135	SS-Maint. of ITP, Resumes & Job Descrip.	1	05/09/2008	Completed
287883	KGDM1003	Doc Lifecycle Mgmt & Oper Regulus	3	05/21/2008	Completed
287884	KOP0034	SS- Accepting/Rejecting a Doc. Request	4	05/21/2008	Completed
273014	KQC0104	SS- GMP Self Assessment Program	4	06/12/2008	Completed
289910	KGA2235	SS-HSE Event& Sfty Observation Reporting	5	07/02/2008	Completed
290526	KGTD0013	SS-Personnel Qualification Program	3	07/02/2008	Completed
279719	KGV0583	SS-Standard Guidelines for Env Incidents	3	07/02/2008	Completed
285129	KOP004	SS-Identifying Reviewers	4	07/02/2008	Completed
138207	HS14033	Office Safety	1	08/13/2008	Completed
291225	KOP001A	SS-Oper. Proc. for Procedure Coordinator	10	08/13/2008	Completed
290765	KGA1066	GMP Library Use and Maintenance	6	09/03/2008	Completed

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267217	NTPESA055	SS-Indpls Facilities mngmt HSE Policy	1	09/03/2008	Completed
301021	CMFTQUP2008	LL-CMFT Quality Update 2008	12	10/03/2008	Completed
317996	CMPLUS000125	CIA: A New Way Forward	1	07/19/2010	Completed
335758	RED BOOK	The Red Book	6	07/19/2010	Completed
330739	CMPLGBL00108	Compliance global policy	3	07/21/2010	Completed
332650	CMPLGBL00129	Use of Electronic Resources (UER) policy	3	07/21/2010	Completed
321430	CMPLUS000100	Adverse Events/Product Complaints US CPP	3	07/21/2010	Completed
382018	CMPLUS000100	Adverse Event and Product Complaints	2.0	07/21/2010	Substituted
321535	CMPLUS000107	Interactions with Consumers	3	07/21/2010	Completed
297480	CAPA131	Review Management in the CAPA System	1	07/22/2010	Completed
329085	KQC0028	SS-Deviations	08	07/22/2010	Completed
309478	IT04G2220223	Documentum D6 Webtop Training	1	07/23/2010	Completed
342980	NTPESA055	SS - IFM HSE Policy and Beliefs Training	02	07/23/2010	Completed
335171	CAPA190	Audit Mgmt in the Lilly CAPA System	1	07/26/2010	Completed
349097	KBCPDMS0013	SS-Doc Lifecycle Mgmt-If Elec Sys Failur	03	07/26/2010	Completed
354090	KGDM1008	SS-Doc Lifecycle Mgmt & Oper Regulus	08	07/26/2010	Completed
344866	HSINJPREV	Injury Prevention Corporate Initiative	00	07/27/2010	Completed
359700	KEVENT60022	SS-IFM Managing HSE Events	2	07/30/2010	Completed
356236	KGV0584	SS-Standard Guidelines for Env Incidents	04	07/30/2010	Completed
323665	IT08G2220067	QUALITY CENTER 9.2 ENTERPRISE	0	08/24/2010	Completed
252796	HS02080	Slips, Trips & Falls, Taking The R Steps	1	09/28/2010	Completed
364842	KINTS10051	SS-Traffic Safety	0100	09/28/2010	Completed
355710	PEEV001-000	SS-Office Worker Environmental Awareness	00	10/11/2010	Completed
367182	RED BOOK	The Red Book	7	10/11/2010	Completed
360174	PESA062	SS-Hazard Recognition and Control	0	10/27/2010	Completed
355253	MF16551-014	2010 Quality Update	14	11/04/2010	Completed
294213	PEERTEPR3004	CBT-Emergency Preparedness & Response	1	12/03/2010	Completed
201354	HS20102	Workstation Safety Plus	1	01/11/2011	Completed
263797	IT04G10930	Introduction to LillyNet	2	01/12/2011	Completed
289489	BS18378_SS	Introduction to BusinessObjects WebI for	2	01/31/2011	Completed
359928	IT0422200021	InfoPath 2007 Level 1: Form Design	2	02/15/2011	Completed
336537	IT0422200021	Sharepoint Designer I - Fundamentals	1	03/15/2011	Completed

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364908	HS20123	CBT-Preventing Slips, Trips and Falls	001	03/18/2011	Completed
387197	KGDM100A	SS-Doc Lifecycle Mgmt & Oper Regulus	10	07/13/2011	Completed
342980	NTPESA055	SS - IFM HSE Policy and Beliefs Training	02	08/29/2011	Completed
387473	PESA061-001	SS- Industrial Ergonomics	001	08/29/2011	Completed
387198	KGDM1014	SS-Ops Manual for GPME Doc Srvs-Proc	04	10/12/2011	Completed
390713	PESA072-000	(SS) IFM Managing HSE Events Training	01	10/12/2011	Completed
394081	RED BOOK	The Red Book	8	10/12/2011	Completed
397829	KINTS10053	SS-Traffic Safety	03	10/21/2011	Completed
392526	MF16551-015	2011 Quality Update	15	10/31/2011	Completed
394887	KINMVS40053	SS-IFM Motor Vehicle Safety Procedure	03	11/03/2011	Completed
382166	KQM001B	CBT-Quality Manual	11	11/03/2011	Completed
332600	MF30762-001	CBT Navigation/Basic Functionality R3	1	12/02/2011	Completed
333681	PG02301	US Travel Policy and Procedure	3	12/05/2011	Completed
358780	MF30750-002	GMARS Overview R3	2	12/07/2011	Completed
394056	GPMEGMARS207	SS-GMARS Security Access Request	00	01/31/2012	Completed
394058	GPMEGMARS208	SS- GMARS R3 Security Admin	00	01/31/2012	Completed
394059	GPMEGMARS210	SS- GMARS View Sec and WF Groups	00	01/31/2012	Completed
396138	KCMMSADMIN6	SS-CMMS Account Request Process	06	01/31/2012	Completed
394065	GPMEGMARScol	CPE Collab Site and Portal Guidelines	00	02/21/2012	Completed
403079	KBCPDMS0015	SS-Doc Lifecycle Mgmt-If Elec Sys Failur	05	02/21/2012	Completed
404374	KQM001C	CBT-Quality Manual	12	02/21/2012	Completed
406941	KGDM100	SS-Doc Lifecycle Mgmt & Oper Regulus	11	04/25/2012	Completed
395061	CMPLUS000144	CIA Relevant Covered Persons	2	06/07/2012	Completed
378536	NT-ECIA LUS	ECIA Lilly USA, LLC	2	06/08/2012	Completed
356350	USS SLLDPR9	US SLLD Testing Policy	3	06/08/2012	Completed
322322	USC-INTRO	Intro to Ethics and Compliance 101	2	06/11/2012	Completed
360167	USS DEA1	DEA Foundational Knowledge	1	06/13/2012	Completed
369444	CMPLUS000125	CIA: A New Way Forward	2	06/14/2012	Completed
401699	GCS-1001	Global AE and PC Reporting	5	06/15/2012	Completed
237536	USS CO A-901	Sample Compliance & Acct: Plain & Simple	1	06/15/2012	Completed
237537	USS CO T-910	Sample Compliance & Acct: Fund App	1	06/15/2012	Completed
241898	USS CO A-903	Refrigerated Sample Training	1	06/16/2012	Completed

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Student Training History

For History Between 01/01/1900 and 04/22/2014

Personnel Number	Full Name	Division	Organizational Unit
607262	Rodriguez, Ray	UNASSIGNED	Leaves and Exits Lilly USA, LLC

BET ID	Abbreviation	BET Title	Revision Number	Completion Date	Status
350275	USS PAYCBT4	The Payer Environment: Private & Public	1	06/16/2012	Completed
113768	VLC6566	Endocrine System Overview	1	06/18/2012	Completed
308204	PG02300	EERS Submitter	1	06/20/2012	Completed
282027	USS DI M-001	ID Diabetes Disease State	1	06/20/2012	Completed
399767	CMPLUS000137	State Ethics, Mktg & Rptg Compliance	6	06/21/2012	Completed
282028	USS DI M-002	ID Diabetes Market	1	06/25/2012	Completed
282029	USS DI M-003	ID Humalog Family	1	06/30/2012	Completed
347932	USS PI MOD	How to use Prescribing Information	1	06/30/2012	Completed
298806	USS WS E-155	Interactive Visual Aid (IVA) + Outtakes	1	06/30/2012	Completed
335375	USS WS A003	Pre Meeting VBS Model Resource Diab	1	07/02/2012	Completed
386714	USS	ID Tradjenta Product	1	07/03/2012	Completed
406812	USS JEN1	ID Jentadueto	1	07/05/2012	Completed
410599	USS VIAL	Veeva-VInsights and Account Lists	1	07/05/2012	Completed
410600	USS VIHCPVM	Veeva-Interactions with HCPs in VMobile	1	07/05/2012	Completed
410597	USS VIntro	Introduction to Veeva	1	07/05/2012	Completed
382025	CMPLGBL00113	External Communications	3.1	07/06/2012	Completed
407208	CMPLUS000101	Advisors and Consultants	2.1	07/06/2012	Completed
407209	CMPLUS000102	Business Meals with External Parties	2.1	07/06/2012	Completed
421984	CMPLUS000102	Business Meals	3	07/06/2012	Substituted
382021	CMPLUS000103	Diamond Reprints	1.2	07/06/2012	Completed
390435	CMPLUS000105	Exhibits	2	07/06/2012	Completed
321536	CMPLUS000106	Interactions Field Medical & Non-Medical	3	07/06/2012	Completed
407212	CMPLUS000108	Items Given to External Parties	3	07/06/2012	Completed
407213	CMPLUS000110	Market Research	1.2	07/06/2012	Completed
321541	CMPLUS000111	Patient Assistance Programs	3	07/06/2012	Completed
457789	CMPLUS000111	Patient Assistance Programs	2	07/06/2012	Substituted
382105	CMPLUS000112	Promotional Materials	2.1	07/06/2012	Completed
407214	CMPLUS000113	Speaker Programs and Training	4.2	07/06/2012	Completed
321582	CMPLUS000114	Unsolicited Requests for Off-label Info	3	07/06/2012	Completed
321435	CMPLUS000115	Compensation and Incentives	1	07/06/2012	Completed
359541	CMPLUS000116	Documenting a Sales Call	2	07/06/2012	Completed
382024	CMPLUS000117	Experience-Based Learning	1.2	07/06/2012	Completed

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BET ID	Abbreviation	BET Title	Revision Number	Completion Date	Status
321537	CMPLUS000118	Internal Communications	1	07/06/2012	Completed
334296	CMPLUS000119	Patient Privacy	2	07/06/2012	Completed
382104	CMPLUS000120	Pharmacy Vouchers	2.1	07/06/2012	Completed
334298	CMPLUS000121	Pres by External Party at Lilly Meeting	2	07/06/2012	Completed
334299	CMPLUS000122	Prior Authorization and Formulary Status	2	07/06/2012	Completed
390440	CMPLUS000123	Promotional Product Samples	2	07/06/2012	Completed
334451	CMPLUS000124	Written Comm. with External Parties	2	07/06/2012	Completed
382108	CMPLUS000133	Sales Call and Sample Distribution Plans	1.1	07/06/2012	Completed
267642	GSSRWTSAL1	Welcome to Sales at Lilly- Part 1	1	07/06/2012	Completed
379133	LODOOverview	Lilly ON-DEMAND Overview	1	07/06/2012	Completed
407210	USGRANTSPOL	Healthcare-Related Grants/Contributions	3	07/06/2012	Completed
410851	USS VGIVM	Veeva-Group Interactions in VMobile	1	07/06/2012	Completed
410852	USS VMSVM	Veeva-My Schedule in VMobile	1	07/06/2012	Completed
410855	USS VSIA	Veeva-Sample Inventory and Adjustments	1	07/06/2012	Completed
410598	USS VSM	Veeva-Speaker Meetings	1	07/06/2012	Completed
410853	USS VSOS	Veeva-Sample Orders and Shipments	1	07/06/2012	Completed
410854	USS VSTR	Veeva-Sample Transfers and Returns	1	07/06/2012	Completed
409828	CIQ_400_001	CIQ Overview for US Sales	00	07/07/2012	Completed
386097	LODBP	Lilly ON-DEMAND Best Practices	1	07/07/2012	Completed
351141	USS CDM	Customer Data Maintenance Training	1	07/07/2012	Completed
285150	USS CO A-440	PDRP (AMA Opt-Out)	1	07/07/2012	Completed
252696	USS DUE 2011	How to Read a Clinical Study	1	07/07/2012	Completed
375515	USS PPRI	Physician Payment Reporting	1	07/07/2012	Completed
356551	USS SLLDPR10	US SLLD Conduct in Sales Learning	2	07/07/2012	Completed
329744	HS20107	CBT- Introduction to hseDIRECTIONS	00	07/25/2012	Completed
392970	LODAPP	Lilly ON-DEMAND Application	1	07/25/2012	Completed
403222	USSIDDC2012	Diabetes Primary Care ID School 2012	1	07/25/2012	Completed
342626	HS20110	CBT-Ergo for the Affiliate Field Force	00	08/28/2012	Completed
407368	USS BILACD	BI/Lilly Alliance Compliance Document	1	08/28/2012	Completed
419470	CIQ_400_004	Sample Mgmt Accountability Refresher	01	08/29/2012	Completed
418642	CIQ_400_006	Applying CIQ-Sales Tool/Select Content	03	08/30/2012	Completed
329739	HS20106	CBT- Secure DIRECTIONS	00	08/30/2012	Completed

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BET ID	Abbreviation	BET Title	Revision Number	Completion Date	Status
419263	USS DIABDES1	Master Active List Clean Up: HI, HG, LD	1	08/30/2012	Completed
420033	USS TRADES2	Tradjenta Destruction Notice 8/31/12	1	08/30/2012	Completed
423650	USS TRADES3	Tradjenta Destruction Notice 10/26/12	1	10/27/2012	Completed
418606	RED BOOK	The Red Book	9	10/29/2012	Completed
424525	CIQ_400_018	Q4 Changes to CIQ Procedures	01	11/09/2012	Completed
418605	CMPLUS000144	CIA Relevant Covered Persons	3	11/09/2012	Completed
419234	USS VMIR	Veeva - Medical Information Requests	1	11/14/2012	Completed
426357	USS TRHUD1	December Tradjenta/Humalog Dest Notice	1	12/10/2012	Completed
408004	GIC P2PBMP	Peer to Peer and Business Meal Programs	1	01/21/2013	Completed
431607	USS HUMDES15	Humalog Destruction of Materials Feb 2013	1	01/29/2013	Completed
431609	USS REFSAM1	Refrigerated Samples/Sample Cooler Compl	1	01/29/2013	Completed
430490	USS USL	Uniform Status Language	1	02/19/2013	Completed
419194	USS TEHC	The Evolution of Healthcare	1	03/01/2013	Completed
419193	USS YIYF	Your Industry, Your Future	1	03/01/2013	Completed
434740	CIQ_400_020	Q1 Changes to CIQ Procedures	00	03/08/2013	Completed
419284	USS JEPE	Journey to ePrescribing Excellence	1	03/08/2013	Completed
426690	USS3MDIABVIR	US Sales 3 Month Diab Remote Training	1	03/19/2013	Completed
438431	USS HUMD5	Humalog Destruction of Materials 4/12/13	1	04/11/2013	Completed
437249	USS VIREP	Veeva-iRep Guides and Documentation	1	04/25/2013	Completed
285150	USS CO A-440	PDRP (AMA Opt-Out)	1	05/21/2013	Completed
441717	USS RAV	Refrigerator Alarm Verification	1	05/21/2013	Completed
442836	USS HUMD6	Diabetes/Humatrope Destr Notice Jun2013	1	06/24/2013	Completed
436777	USS CYMSAM2	Cymbalta Voucher-Pt Ed-Sample Cert	1	06/27/2013	Completed
436778	USS ESG2	Evista Voucher-Sample Cert	1	06/27/2013	Completed
443803	CIQ_400_021	Changes to CIQ Procedures August 2013	01	07/22/2013	Completed
443807	CIQ_400_023	Changes to CIQ Sample Management Proced	02	07/22/2013	Completed
436787	USS CIALSC2	Cialis Voucher-Sample Cert	1	07/22/2013	Completed
445370	USS CIQCFRC	Kenmore 253.61522 Set Up Confirmation	1	07/22/2013	Completed
446542	USS HUMD7	Humalog Dest of Materials July 2013	1	07/22/2013	Completed
445369	USS CIQCU	Kenmore 253.61522 Requirements	1	08/14/2013	Completed
449072	USS DBUDM813	DBU Destruction of Materials Aug 2013	1	08/31/2013	Completed
449332	USS PSS	eAck Prod Sample Storage	1	08/31/2013	Completed

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BET ID	Abbreviation	BET Title	Revision Number	Completion Date	Status
430663	USS LECHF 13	Local Exhibits and Consumer Health Fairs	1	09/11/2013	Completed
450480	USS DBUDS13	DBU Destruction of Materials Sept 2013	1	09/20/2013	Completed
419195	USS MIQM	Market Influencers and Quality Measures	1	10/02/2013	Completed

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Rodriguez v. Eli Lilly and Company, et al.

Declaration of Melissa A. Popa

Exhibit 3



On: Apr 22, 2014 At: 9:19:08 AM By: Danyale Wilson

First Contact

Communication:	Telephone Number	Contact Date:	Sep 4, 2013
Contact Person:	Ms Julia Ramos	Telephone:	
E-Mail:	RAMOS_JULIA@LILLY.COM		

Affected Employee

Global ID Number :	00607262		
Name:	Rodriguez, Ray Albert		
Employment Status:	Withdrawn		
Hire Date:	Dec 3, 2001	Leaving Date:	Oct 17, 2013
Address 1:	384 N Post Oak LN		
Address 2:			
City:	Houston	State:	TX
Country:	USA	Postal Code:	77024
Telephone:	317-277-6077		
E-Mail:	RAY_RODRIGUEZ@LILLY.COM		
Employee group:	Lilly Employees	Employee Subgroup:	Sales Associates
Personnel Area:	US:Lilly USA, LLC Pharma Fld	Personnel Subarea:	Pharma Fld

Activity

Description:	Complaint from co-worked re: potential policy violations and call falsification		
Priority:	Level 2 - Medium	Status:	Closed
Due Date:	09/25/13 08:15:47 EST	Category:	Improper Conduct
Owner Org. Unit:	US HR Investigations	Subcategory 1:	Misconduct
Owner:	Melissa Popa	Subcategory 2:	Allegation
Owner Org. Unit:	US HR Investigations	Subcategory 3:	
Processor:	Melissa Popa	Subcategory 4:	
Resolution:	Termination		

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On: Apr 22, 2014 At: 9:19:08 AM By: Danyale Wilson

Additional Activity Information

General Activity Information

EthicsPoint Case No.:		Master Case:	No
Incident Date:	Aug 31, 2013	Country:	USA
Related to FHCP/FDA:	NO	Original Close Date:	Oct 18, 2013
Incident Short Description:	Allegation received from employee that co-worker employee violated policies and falsified sales calls.		
Product Family:	Tradjenta	Transfer of Value:	Yes
Additional Products:			
Privileged:	No	Privileged Date:	
Alleged Setting:	Physician Office	Allegation Investigated:	
Violation Determined Dt:	Oct 15, 2013	Primary Outcome:	Violation
Preliminary Root Cause:		Therapeutic:	Diabetes
Discipline Delivery Dt:	Oct 17, 2013	Serious Compliance Viol:	No
Business Node:	Diabetes		

Corrective Activity Information

Action:	
Corrective Action Short Description:	
Action Initiation Date:	Action Close Date:
Status of Corr Action:	Individual Implementing:
Approval Bus Owner 1:	Compliance:
Approval Bus Owner 2:	
Prevent Reoccurrence:	

Re-monitoring Activity Information

Re-Monitoring:	Complete:	N/A
Status:		

Reportable Event Activity Information

CRS Case ID:	Reportable Event:
Confirmed Date:	Due Date to OIG:
Event Status:	Submission Date:
Issue Type	
Non-Emp Name/Relation:	Implicated Person Type:

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On: Apr 22, 2014 At: 9:19:08 AM By: Danyale Wilson

Participant Activity Information

Participants				
Participant ID	Name	Relation	Role	Resolution
00126245	Mr Michael Postel	EEO	Consultation	Completed
00000000	Rene Childers	US Promotional Compliance	Consultation	New

Notes

Content

General Notes

Mrs Nancy Dillon - 09/04/13 08:16:50 EST - Juli Ramos, district manager, emailed me (Nancy Dillon) regarding Ray Rodriguez, employee, and continued concerns she has with his behaviors and potential compliance concerns. Juli and I had spoken last week about how to approach Ray with some concerns she had prior to her ride-along. Once she completed the ride-along and received the email (below) from Syreeta (Ray's partner), she sent an email to me (see below) outlining several additional concerns. She also forwarded an email to me that Ray sent to her following their ride-along to prove that he is working (see attachments). I consulted with Melanie Smith in investigations regarding the case.

From: Julia Ramos
Sent: Tuesday, September 03, 2013 9:08 AM
To: Nancy J Dillon
Subject: FW: partner planning help

Hi Nancy --

We spoke last week regarding Ray Rodriguez and per the email below from his partner it appears that the situation is escalating. If you have some time to chat today I would like to seek advice for next steps. Thank you!

From: Syreeta Bernadette Barrett
Sent: Saturday, August 31, 2013 12:15 AM
To: Julia Ramos
Subject: partner planning help

Juli,

I wanted to see if you had any expectations/tips for a productive planning day with our partners. I apologize in advance for the length of the email. I feel as if my planning day with Ray was unsuccessful and time could be used more efficiently. I tried to approach the planning day by sharing excitement and positivity around all of the great tips from the workshops I attended and that I'm eager to share with the team next week. He was very disinterested and sarcastic in the response to the information, which made the conversation very awkward for the remainder of the afternoon. I was actually on the way out of the door when he walked in because he didn't give me a heads up that he was stuck in traffic for 30 minutes. When he arrived I politely asked what he wanted to accomplish from the planning day then expressed how I felt the time could be effectively used as well.

I included: Routing, reviewing the business plan to see where we were on achieving the goals set, going through customers, what's our game plan, managed care, how is the territory trending, identifying gainers/losers and more. Before we started he explained to me that Dr. Tran told him that I wasn't welcomed in his office anymore. I find this VERY hard to believe as I assisted Dr. Tran with texting Emily immediately with Dr. Tran's frustration of not having any 30 mg samples of Cymbalta for his patient that he was sending out the door. I literally said 3 sentences to Dr. Tran: "I see you are extremely busy and only Ray needs your signature today so I won't take up any additional time or space today. I would be more than happy to help you get Cymbalta samples although we do not promote it. Thank you for allowing me to come into your office and if it was ok, I would try to schedule a lunch with him to spend more time getting to understand his practice." He responded that if I could do that, it would be "great and thank you so much". I find it EXTREMELY hard to believe in the time that I have been a pharma rep, I HAVE NEVER HAD A CUSTOMER COMPLAINT or kicked out of an office. I also find this very hard to believe from a rep that feels it's ok to "get kicked out of offices all the time" as he expressed to you on Thursday, 8/22/2013. I feel as if this is retaliation for the feedback I shared with you from the customers we discussed. I am extremely offended and quite suspicious that this is the first time ever that anything like this has happened. I feel very strongly about this situation and I am ready to discuss next steps about his actions. I will not work in an environment where there is malicious intent, dishonesty in actions and retaliation. If indeed Dr. Tran was offended by my pleasant demeanor, helpful nature in assisting him with his physically expressed frustration and consideration for his patients and his time by scheduling a better time to converse, I will definitely remove myself from this office. I have worked successfully with other partners and NEVER experienced such unprofessionalism.

The planning day consisted of Ray communicating via cell phone about/coordinating a program that I knew nothing about, explaining the need again of why he and Sherrell never had to do a routing and how successful he has been in the territory. He told me where to go for week one and we shared lunch dates. After the conclusion of the time spent, I have decided not to share lunches unless it is absolutely necessary from a budget or limited access standpoint. I agreed and explained that I never said he wasn't successful. I asked him to review the business plan and he asked why. I attempted to look at the territory trends with him and he continued to go through customers that he explained "HE WAS BLOWING OUT OF THE WATER" which in fact when we looked at the

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On: Apr 22, 2014

At: 9:19:08 AM

By: Danyale Wilson

Notes

data correctly, were actually declining in NRx trends and SOM. I asked him what was our game plan on HCP's we were losing with and he told me that these "REPORTS ARE POINTLESS AND NOT ACCURATE" "I have an engineering background and can't use the reports and won't because they are not current and are 3 months behind."

I asked him about a couple of doctors and where he was in the progression of the dialogues and his response was to show me a notes application that he used to log his call notes. I explained that again the info that he included in the notes were non-compliant because the HCP's name, products discussed, resources left, disease state and more were included. Again, he blew off the importance of being compliant by saying, "You use a Microsoft log in and they (compliance) can't see the notes" I have learned to just agree with whatever he says simply to move on in the conversation to prevent the 20 minute conversation derailment about something irrelevant to the business. I showed him how I would look at the data after identifying the decline in SOM on Humalog for tier 2 and tier 3's and showed him how to calculate how many scripts it broke down to and what I would do to identify or try to discover where the change in prescribing could be. I showed him how I check managed care reports, NRx trends and how everyone has a different way of looking at the many reports. I also told him that I don't discredit his method of business planning. He basically stared at me and gave sarcastic feedback, informed me that diabetes is nothing like Neuroscience and it's two different worlds and that I have NO IDEA about Diabetes. He again reminded me of his success and guaranteed me that I was wrong about identifying gainers/losers. He continued to go on and on about how the reports "sucked" and I cut him off. He complained about me cutting me off and I did because the majority of the time spent this day was him being off task and distracted.

I NEED YOUR HELP. I do not want this to be a regular time consuming conversation that you and I have to keep rehashing and I have learned from past experiences that when you have an issue, it's better to address it early instead of allowing it to affect my own professional development. I feel like this is out of hand. I have reached out to Sherrell about best practices while partnering with him as you suggested. She responded by telling me that she and Sandi had to "manage him", she consistently had to correct his tone of voice/condescending nature and she and Sandi (when present) basically did the leg work. I am not (in any way) interested in managing any of my peers or doing most of the work. While being his partner, He has attempted to bully me into doing unethical/non compliant actions including falsifying calls, not to worry about the "temp tell" monitor because his "alarm has gone off probably 6 times or so and he doesn't pay it any attention ("don't get too wrapped up in worrying about that"), included dialogues that didn't happen with HCP's and told me that even if the Dr. consumes lunch, he doesn't make them sign the sign in sheet because he knows who ate and who didn't... "I don't make my doctors sign" (akinyeye lunch). He explained to me that "if you aren't doing something to get fired in this job daily... you aren't doing something right" I could go on and on but, I think we have discussed other examples.

I am not a complainer by nature, I am a problem/solution oriented individual. Please help me with the best approach to moving on and resolving these issues. I think it's a bit disappointing and thought provoking that after my Houston south peers/BI overlaps ask me in general conversation about my territory, "how's training" or "who is your partner again?", I respond with Ray Rodriguez and have not had ONE person say anything positive about him and most have responded with "I'm sorry" "wow... I'm glad he's on your team now" "yeah... good luck with that" or "I don't know how you do it". I want to support him and I want us both to be successful. It kills me when I get that feedback because it makes me wonder why that's the general consensus of him. This feedback was not solicited by me and I want to clarify that I did NOT proactively bring up our partnership.

I know this email is lengthy and I apologize. But, I'm frustrated and I need help soon.

Thank you,

Syreeta

Mrs Nancy Dillon - 09/05/13 13:40:31 EST - I sent the following email to Juli last evening:

From: Nancy J Dillon

Sent: Wednesday, September 04, 2013 04:48 PM

To: Julia Ramos

Cc: Nancy J Dillon

Subject: RE: partner planning help

Juli - I promise I am not ignoring you. I just spoke again with the investigator who is waiting to hear back from compliance on a couple of items that were brought up in the email from Syreeta. I would like to chat with you tomorrow to discuss some of the performance aspects. I am available 7-9am and 11am-1pm. I go on phones at 1pm for the remainder of the day, but we could probably chat during that time as long as you know I have to catch my phone if it rings. Let me know what works for you and if tomorrow doesn't work, we can chat on Friday.

The main message to Syreeta at this point is to reassure her that we (LLY) take this very seriously and you are taking appropriate action to look into the allegations she has made. You will get back to her as soon as you hear more, but in the meantime, business as usual.

Thanks,
Nancy

I then spoke with Juli this morning. She has informed Syreeta that she is in touch with HR and we are looking into the allegations. Juli feels that Syreeta is piling on and now digging for additional details and Juli wants to redirect her to focus back on the work. Juli wants HR to help with this. Syreeta has said that Ray is sampling in places where he isn't supposed to sample.

HR - how long has Syreeta reported to you?

Juli: 60 days - July 1

HR: is Ray new to you also?

Juli - Yes

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On: Apr 22, 2014

At: 9:19:08 AM

By: Danyale Wilson

HR: Were they partners before?

Juli - no - she was biomed's rep before

Juli - Ray and Syreeta are bickering back and forth

HR: I asked Juli if she has spoken to both of them individually about appropriate behaviors and she confirmed she has done so. We discussed the possibility of getting both of them together with her and having a conversation about what is/is not acceptable behavior and her expectations.

Juli then told me that Syreeta is off work today, tomorrow and Monday.

HR: Was Syreeta originally scheduled to be off the next three days?

Juli: No

Juli: She texted me and said she wanted to be off today to deal with a family matter. She has a ride-along with me on Monday, and asked "can we reschedule?"

I think she has escalated this emotionally and can't deal with working right now. She is also escalating to other team members.

HR: That needs to stop - she needs to stop doing that right now and you need to tell her.

Juli: I asked her if she had talked to Ray's former partner to seek best practices.

Syreeta: Yes

Juli: That's when she said that Sherell had told her she had to "manage" Ray. And then yesterday I was with somebody else on my team, Clarissa Perkins, and she said that Syreeta had come to her and told her everything about the situation with Ray. I told Clarissa I hoped she had remained professional. She confirmed she did and stated she thinks Ray is crazy. I told her not to use that word because it can have many connotations.

Juli: I have been encouraging people to address issues with each other. I believe this is the right approach.

Juli: Is it a problem to have consulting pairs come in and work with Ray and Syreeta prior to the investigation?

HR: Let me inquire and get back to you on that.

HR: Do you think Ray is falsifying calls?

Juli: I believe he is doing it, but I believe he has been either coached or told it was okay and told "get it done - I don't care how you do it, but get it done."

When I looked at his information in Veeva, he meets 100% of his alliance calls and in the summer this is difficult.

I wrapped up with Julie by letting her know I would get an answer on whether or not she should have consulting pairs come in prior to investigation, and to see if HR can proactively have a discussion with Syreeta to ensure her we are looking into the situation. Juli is concerned that because Syreeta has just started reporting to her, she doesn't trust Juli enough yet. Juli wants to get Syreeta under control so she can focus back on work.

Mrs Nancy Dillon - 09/05/13 17:22:25 EST - I consulted with Melanie Smith and Kelsey Miller today on this case. They agreed this should be transferred to investigations. Transferring case.

Mrs Nancy Dillon - 09/09/13 08:36:19 EST - I, Nancy Dillon, informed Juli today that she should not use consulting pairs in this situation.

Mrs Melissa Popa - 09/18/13 15:33:20 EST - Reviewed email from Syreeta Barrett. Called and set up time to have a in depth disucssion re: her concerns on Monday Sept 24, 2013 at 3pm.

As a result of the review, here are some concerns I have highlighted:

Potential falification of a sales call (Dr. Killan on 8.20.13) - who allegedly was on vacation most of August and not in the office
A NS rep (Emily Shores) had a D/S call with Dr. Killan on 8.7.13.

Use of notes application to log call notes (Microsoft notes) that 'compliance can't see'

*HCP name

*Products mentioned

* Resources left

* Disease state

Not making the dr. sign (having an office member sign for him) for lunch attendance

Ignored his 'temp tell monitor' 6 times or so - doesn't pay attention to it

Spoke with Juli Ramos today and discussed concerns. As a result of the conversation, she will:

Call Dr. Killan's office to confirm vacation - out of office - time

Forward me messages she has sent to her team re: some of the policies applicable to above concerns

Set up some time with her next week after I speak with Syreeta and US Compliance on next steps.

Juli believes that he is making calls and is working. No other data points to suggest falsification so no need to pull call reports at this time unless Syreeta has other specific examples.

Ray has called Juli (and call into ER and talked with Hongxia) says he feels like he is being "targeted" by Syreeta and that he feels like she is trying to "sabotage" him and that his 13 years career at Lilly in in "jepordy"

Stated that "he is not doing well" and will be going to his dr. today.

I will f/u with Syreeta and US Promotional compliance before next week.

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On: Apr 22, 2014

At: 9:19:08 AM

By: Danyale Wilson

Mrs Melissa Popa - 09/23/13 12:50:49 EST - Spoke with Katie McDaniel re: this case. She referred me to Jamie Steinmetz to call about the CIQ Temp Tale monitor. I called Jamie and left her a message. She did confirm that after a Temp Tale monitor has gone off - it cannot be reset by the ee -- the samples must be returned and a new monitor is sent out to replace the one that went off. Said that Jamie should be able to check to see if this monitor has gone off.

Discussed the other allegations with Katie - she said it would be best if he would admit to having others sign for the dr. at lunch or if he would show us the notes system he is using to record his calls. Agreed that we would structure the questions in that manner.

Mrs Melissa Popa - 09/24/13 09:38:46 EST - 9.23.13

I spoke with Syreeta today to get specific details re: her concerns that she brought forward re: Ray Rodriguez.

1. Microsoft log where he has been recording notes on his sales calls. Syreeta will forward me several of the entries that he has been sending to her. She said that as long as he doesn't get caught, he thinks it is OK. She has told him several times to stop sending those to her and that is noncompliant.
2. Temp tale recorder/alarm -- you are supposed to hook it up by a USB cord to your computer and download the information to sample accountability. If the alarm goes off you are supposed to hook it up and send the file in. Syreeta stated that he told her that he never connects it to the computer therefore they have no record of the alarms going off.
His fridge is in a storage unit (he took her there to get resources). He said that he had a recent sample audit but they don't check the temp tale monitor.
3. Potential falsification of sales calls - Ray stated to her that he records calls on customers that he doesn't see face-to-face. He told her "if I leave my business card, it's a call". Example: Dr. Ronald Killam - they went into his office mid August and he was OOO - they saw his PA - Ray recorded it as a call - he told her to "just mark it as a call". She refused to do so and Ray was mad because he said their calls would match up. He has hit his alliance attainment goals 100% of the time. Syreeta was going to take a look back in her records to see if she could find any other examples to send to me when they didn't see the customer and he recorded it as a call.
4. Re lunches and not getting signatures from the ppl who eat lunch. Juli sent me 4 examples of mismatches on # of ppl listed on an expense report for lunch doesn't match # on the sign in sheet.
Syreeta stated that Ray told her "it is not a big deal" and "he is not going to bother the dr's" with tracking them down for a signature for lunch. Syreeta witnessed him asking a receptionist on an office to sign for all of the ppl who ate lunch that day. Syreeta said she was not comfortable with that and waited to see the dr. to obtain his signature. (Dr. Pineda).
She is going to provide me the date of the lunch with Dr. Akinyeye - stated that she was there but it was his lunch and he never got his signature on the sign in sheet.
5. She was with Ray on July 30 - he went into an office and saw PA Jason Edginton - he stated "WE see the [Rx] numbers.... the numbers don't lie... why are you not writing Trajenta?" Syreeta said the PA started walking away during this dialogue and was very upset and angry. Later that week, 2 of the BI overlaps brought it up to Syreeta saying that the PA mentioned it to them when they were in the office a few days later.

From: Melissa Ann Popa
Sent: Monday, September 23, 2013 3:52 PM
To: Syreeta Bernadette Barrett
Subject: follow up

Syreeta --

Thank you for your time today..... As follow up, please send me the following:

Screen shots/emails from Ray re: the customer notes he records outside of Veeva
Any additional specific dates/customers where Ray recorded a call on a customer that you did not see with him (according to the definition of a sales call)
Date of Dr. Akinyeye lunch

Thank you for your help!

Melissa

Mrs Melissa Popa - 09/30/13 08:24:29 EST - From: Julia Ramos
Sent: Friday, September 27, 2013 4:27 PM
To: Melissa Ann Popa
Subject: RE: update

Hi Melissa -- I am out travelling that following week so my schedule get dicey. Any chance we could push it up to Tuesday the 1st? I am riding with him that day.

Thanks!

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On: Apr 22, 2014 At: 9:19:08 AM By: Danyale Wilson

From: Melissa Ann Popa
Sent: Friday, September 27, 2013 12:08 PM
To: Julia Ramos
Subject: update

Juli –

I rec'd the information from Syreeta.... The only 2 examples of the potential call falsification she provided were the 2 we already had (Killam)... we will still ask him about what he considers a call and we will inquire about the call on 8.20 when we know Dr. Killam was out of the office.

She also sent me examples of notes he sends her of his calls that are documented outside of Veeva.... I will send those to you to print out as you will need to have them to show him during our conversation.

Lastly, please pull the EERS data and sign in sheet for Dr. Akinyeye lunch 8/5/13 and send to me (and any other lunches in Aug/Sept where the EERS data and sign in sheets don't match). I know that you mentioned that you have not rec'd an expense report from him since July – hopefully that has been corrected. If not, ask him to forward you all of his expense reports since then.

I will pull the rest of this information together early next week and then we should be ready to go. I am on vacation Thurs/Fri so more than likely it will be Mon/Tues of the following week. Thanks!

Melissa

Melissa A. Popa
Consultant – Human Resources – Employee Relations
Eli Lilly and Company
Office: 317-276-0950
Mobile: 317-414-6864
Fax: 317-277-7642
Email: mpopa@lilly.com | Web: <http://www.lilly.com>

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Mrs Melissa Popa - 09/30/13 08:48:33 EST - From: Melissa Ann Popa
Sent: Monday, September 30, 2013 8:39 AM
To: Julia Ramos
Subject: RE: Expense Summaries

Juli –

Thanks for the information – I will contact EERS to see if they can send me the details....will they also have copies of the sign in sheets?

Given the amount of data that I still need to gather, we will not be ready to talk with him tomorrow.... We will work thru the details and then schedule something when it is convenient for you. Thanks!

Melissa

Melissa A. Popa
Consultant – Human Resources – Employee Relations
Eli Lilly and Company
Office: 317-276-0950
Mobile: 317-414-6864
Fax: 317-277-7642
Email: mpopa@lilly.com | Web: <http://www.lilly.com>

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From: Julia Ramos
Sent: Friday, September 27, 2013 11:37 PM

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On: Apr 22, 2014 At: 9:19:08 AM By: Danyale Wilson

To: Melissa Ann Popa
Subject: RR: Expense Summaries

Hi Melissa –

I am not going to be able to get receipts without raising suspicion as I was not his approver. Here are the summaries. Can EERS provide?

Mrs Melissa Popa - 10/02/13 10:41:31 EST - From: Kathy Ann Clark
Sent: Wednesday, October 02, 2013 10:37 AM
To: Katherine Elizabeth McDaniel
Cc: Melissa Ann Popa
Subject: RE: OneNote call notes

Thanks for the questions.

It seems to me that these internal communications should be marked clearly as "for internal use only" (or included in an introduction to sharing the information) and would be acceptable to share from one sales representative to another partner sales representative as an internal communication. I do not know that they have been instructed to be able to keep in one note, or to share any of this type of communication in a written format.

There is no FDA US regulatory concern for internal communications, but we need to be sure the sales force communicating with the HCP on "on label" information only & any notes about the visit should also reflect all on label discussions or direction given if an off label question was asked.

I am not clear if the following statements are on or off label as there is missing information

1. Dr. Berberian: "Suggest progression on Tradjenta and Jentadueto especially Pam". This may be a concern as this may indicate a discussion of treatment strategy which is not on label discussion.
2. Jacinto Group: "Spoke with Dr. Dennis about his treatment algorithm" This may be a concern as this may indicate a discussion of treatment strategy which is not on label discussion.
3. Jacinto Group: "She has older patients who she listens to say some very unlikely things about their treatment and insulin." This may be a concern as this may indicate a discussion of side effects which I can't verify or confirm if it was reported.

I do not feel like US Ad/ Promo should review internal sales force notes, but rather compliance & sales training should determine if they should review the other notes or notes like this & decide if this practice of taking and sharing notes like this is acceptable & decide if reviewing these notes is an activity which should be done more broadly.

Kind Regards,
Kathy

Kathy A. Clark, RN
Advisor, Global Regulatory Affairs-US Advertising/Promotion
Eli Lilly and Company
Office: 317.433.9801
Mobile: 317. 432.6184
Email: clarkka@lilly.com | Web: <http://www.lilly.com>

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From: Katherine Elizabeth McDaniel
Sent: Wednesday, October 02, 2013 10:13 AM
To: Kathy Ann Clark
Cc: Melissa Ann Popa
Subject: FW: OneNote call notes

Kathy-

I'm working with Melissa Popa on an investigation, and she just sent me some notes that a representative has taken after his calls with HCPs. The representative has been putting these in OneNote and then sending them to his partner. Attached are four examples, but Melissa said she could request the rest of them if you are concerned. Do you mind looking through these from a Regulatory perspective to let me know if any of the statements are of concern? If so, can you point those out to me? Also- if you believe we should request the rest of the notes, I can loop back with Melissa to do that. I appreciate your assessment!

Regards,
Katie

Katie McDaniel
Ethics & Compliance
Lilly USA, LLC
w: 317.651.2996

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On: Apr 22, 2014 At: 9:19:08 AM By: Danyale Wilson

c: 317.225.9518
f: 317.277.6809

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From: Melissa Ann Popa
Sent: Wednesday, October 02, 2013 10:05 AM
To: Katherine Elizabeth McDaniel
Subject: OneNote call notes

Here you go! Thanks for your help! Please let me know if you have any questions!!!

Melissa A. Popa
Consultant – Human Resources – Global Investigations COE
Eli Lilly and Company
Office: 317-276-0950
Mobile: 317-414-6864
Fax: 317-277-7642
Email: mpopa@lilly.com | Web: <http://www.lilly.com>

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Mrs Melissa Popa - 10/02/13 10:44:15 EST - From: Melissa Ann Popa
Sent: Wednesday, October 02, 2013 10:26 AM
To: Julia Ramos
Subject: RE: meeting for next week

One other quick note – can you please run a Veeva report (or send to me if you already have) with his call history for the last 3-4 mos.... We need to confirm that he actually has sampled after we believe his TempTale monitor went off. Thanks!

Melissa A. Popa
Consultant – Human Resources – Global Investigations COE
Eli Lilly and Company
Office: 317-276-0950
Mobile: 317-414-6864
Fax: 317-277-7642
Email: mpopa@lilly.com | Web: <http://www.lilly.com>

From: Melissa Ann Popa
Sent: Wednesday, October 02, 2013 10:24 AM
To: Julia Ramos
Subject: RE: meeting for next week

Juli –

We can talk later today....actually we may have to delay the conversation with Ray until later in the week... I spoke to US Promotional Compliance this morning and they are concerned about the notes he is putting in OneNote. They need to take them to Regulatory and have them reviewed before we can move forward....

Let me know what time works for you this afternoon. Thanks!

Melissa A. Popa
Consultant – Human Resources – Global Investigations COE
Eli Lilly and Company
Office: 317-276-0950
Mobile: 317-414-6864
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Email: mpopa@lilly.com | Web: <http://www.lilly.com>

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On: Apr 22, 2014 At: 9:19:08 AM By: Danyale Wilson

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From: Julia Ramos
Sent: Wednesday, October 02, 2013 10:12 AM
To: Melissa Ann Popa
Subject: Re: meeting for next week

Monday would be good. Can we talk today? Maybe later this afternoon?

From: Melissa Ann Popa
Sent: Wednesday, October 02, 2013 06:57 AM
To: Julia Ramos
Subject: meeting for next week

Juli -

I have gotten all of the appropriate information and documentation that I need to put together the interview guide. Please let me know what day next week will work best for you (other than Monday). Also, do you feel that you would like a security presence there? If so, I will need the name and address of the location where you and Ray will be meeting. I am around all day, so feel free to give me a call when it is convenient for you. Thanks!

Melissa

Melissa A. Popa
Consultant - Human Resources - Global Investigations COE
Eli Lilly and Company
Office: 317-276-0950
Mobile: 317-414-6864
Fax: 317-277-7642
Email: mpopa@lilly.com | Web: <http://www.lilly.com>

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Mrs Melissa Popa - 10/02/13 13:24:30 EST - From: Melissa Ann Popa
Sent: Wednesday, October 02, 2013 1:21 PM
To: Syreeta Bernadette Barrett
Subject: RE: Dr. Dancel .pdf

Syreeta -

Thanks you for all of your information... one more request... you indicated when we talked that you thought you had about 20 of these emails from Ray... I know I said that I only needed a sample, but now have decided that I do need the rest... could you please forward those to me at your earliest convenience? Thanks!

Melissa

From: Melissa Ann Popa
Sent: Wednesday, October 02, 2013 1:24 PM
To: Syreeta Bernadette Barrett
Subject: RE: Dr. Dancel .pdf

Thanks so much!

Melissa A. Popa
Consultant - Human Resources - Global Investigations COE
Eli Lilly and Company
Office: 317-276-0950
Mobile: 317-414-6864
Fax: 317-277-7642
Email: mpopa@lilly.com | Web: <http://www.lilly.com>

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On: Apr 22, 2014 At: 9:19:08 AM By: Danyale Wilson

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From: Syreeta Bernadette Barrett
Sent: Wednesday, October 02, 2013 1:22 PM
To: Melissa Ann Popa
Subject: Re: Dr. Dancel .pdf

Ok, let me see what I have left

Sent from my iPad

Mrs Melissa Popa - 10/02/13 13:25:16 EST - From: Katherine Elizabeth McDaniel
Sent: Wednesday, October 02, 2013 10:55 AM
To: Rene Elizabeth Childers
Cc: Melissa Ann Popa
Subject: FW: OneNote call notes

Rene-

Melissa called me about a case she is working on and we got to talking about another portion of the case which concerned me.

Can you work with Melissa as a consult on this portion of the case? I've requested that she obtain the rest of the notes the rep took so the interview guide can ask some clarifying questions. We'll also need Kathy to assess those notes for any regulatory concerns. We can chat live if necessary.

Thanks!
Katie

Katie McDaniel
Ethics & Compliance
Lilly USA, LLC
w: 317.651.2996
c: 317.225.9518
f: 317.277.6809

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From: Katherine Elizabeth McDaniel
Sent: Wednesday, October 02, 2013 10:53 AM
To: Kathy Ann Clark
Cc: Melissa Ann Popa
Subject: RE: OneNote call notes

Thanks Kathy!

While I agree this typically would be a function for E&C or training to review, the comments within the notes made me worry that they may allude to some off-label or inappropriate conversations that the representative has had with the HCPs, and Regulatory would be the only function to make that determination. My concern here is that these will need to be reviewed at PREC (along with the findings from the interviews).

Melissa- I'll assign someone on my team to consult on this portion of the rep's cases, and we'll want to ask some clarifying questions around the statements the rep noted in the documents to better understand if they are potentially off-label and need to be reviewed at PREC. Based on Kathy's concerns, I think we should request the rest of the notes so we can see if there are any other notes that could allude to inappropriate promotional conversations.

As always, please let me know if either of you has any questions!!

Thanks!
Thanks!
Katie

Katie McDaniel
Ethics & Compliance
Lilly USA, LLC
w: 317.651.2996
c: 317.225.9518
f: 317.277.6809

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On: Apr 22, 2014 At: 9:19:08 AM By: Danyale Wilson

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From: Kathy Ann Clark
Sent: Wednesday, October 02, 2013 10:37 AM
To: Katherine Elizabeth McDaniel
Cc: Melissa Ann Popa
Subject: RE: OneNote call notes

Thanks for the questions.

It seems to me that these internal communications should be marked clearly as "for internal use only" (or included in an introduction to sharing the information) and would be acceptable to share from one sales representative to another partner sales representative as an internal communication. I do not know that they have been instructed to be able to keep in one note, or to share any or this type of communication in a written format. There is no FDA US regulatory concern for internal communications, but we need to be sure the sales force communicating with the HCP on "on label" information only & any notes about the visit should also reflect all on label discussions or direction given if an off label question was asked. I am not clear if the following statements are on or off label as there is missing information 1. Dr. Berberian: "Suggest progression on Tradjenta and Jentadueto especially Pam". This may be a concern as this may indicate a discussion of treatment strategy which is not on label discussion. 2. Jacinto Group: "Spoke with Dr. Dennis about his treatment algorithm" This may be a concern as this may indicate a discussion of treatment strategy which is not on label discussion. 3. Jacinto Group: "She has older patients who she listens to say some very unlikely things about their treatment and insulin." This may be a concern as this may indicate a discussion of side effects which I can't verify or confirm if it was reported.

I do not feel like US Ad/ Promo should review internal sales force notes, but rather compliance & sales training should determine if they should review the other notes or notes like this & decide if this practice of taking and sharing notes like this is acceptable & decide if reviewing these notes is an activity which should be done more broadly. Kind Regards,
Kathy

Kathy A. Clark, RN
Advisor, Global Regulatory Affairs-US Advertising/Promotion
Eli Lilly and Company
Office: 317.433.9801
Mobile: 317. 432.6184
Email: clarkka@lilly.com | Web: <http://www.lilly.com>

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Sent: Wednesday, October 02, 2013 10:13 AM
To: Kathy Ann Clark
Cc: Melissa Ann Popa
Subject: FW: OneNote call notes

Kathy-

I'm working with Melissa Popa on an investigation, and she just sent me some notes that a representative has taken after his calls with HCPs. The representative has been putting these in OneNote and then sending them to his partner. Attached are four examples, but Melissa said she could request the rest of them if you are concerned. Do you mind looking through these from a Regulatory perspective to let me know if any of the statements are of concern? If so, can you point those out to me? Also- if you believe we should request the rest of the notes, I can loop back with Melissa to do that. I appreciate your assessment!

Regards,
Katie

Katie McDaniel
Ethics & Compliance
Lilly USA, LLC
w: 317.651.2996
c: 317.225.9518
f: 317.277.6809

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On: Apr 22, 2014 At: 9:19:08 AM By: Danyale Wilson

Sent: Wednesday, October 02, 2013 10:05 AM
To: Katherine Elizabeth McDaniel
Subject: OneNote call notes

Here you go! Thanks for your help! Please let me know if you have any questions!!!

Melissa A. Popa
Consultant – Human Resources – Global Investigations COE
Eli Lilly and Company
Office: 317-276-0950
Mobile: 317-414-6864
Fax: 317-277-7642
Email: mpopa@lilly.com | Web: <http://www.lilly.com>

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Mrs Melissa Popa - 10/14/13 13:49:03 EST - From: Verne Fawver
Sent: Monday, October 14, 2013 12:24 PM
To: Melissa Ann Popa
Subject: RE: Security help needed tomorrow in Texas

We are all set

Vern Fawver
Investigations and Administration
Eli Lilly and Company
Lilly Corporate Center, Indianapolis, IN 46285
Tel: 317.276.1321 Mobile: 317.370.5880 Fax: 317.276.5094

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From: Melissa Ann Popa
Sent: Monday, October 14, 2013 10:54 AM
To: Verne Fawver
Subject: RE: Security help needed tomorrow in Texas

We need to have a visual on the TempTale monitor and if the alarm has gone off, will need him to download the data on the monitor to his computer.... Any other ideas on how to best do that? Would it be best for you and I to talk live?

Melissa A. Popa
Consultant – Human Resources – Global Investigations COE
Eli Lilly and Company
Office: 317-276-0950
Mobile: 317-414-6864
Fax: 317-277-7642
Email: mpopa@lilly.com | Web: <http://www.lilly.com>

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From: Verne Fawver
Sent: Monday, October 14, 2013 10:47 AM
To: Melissa Ann Popa
Subject: RE: Security help needed tomorrow in Texas

Good morning Melissa,
I'm a bit concerned that the DSM is going to the storage unit. Is this to inventory/reconcile the samples as part of the investigation ??

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On: Apr 22, 2014

At: 9:19:08 AM

By: Danyale Wilson

I will call my Houston contact and let you know. I have a good presents in that area and it should be no problem.

Vern Fawver
Investigations and Administration
Eli Lilly and Company
Lilly Corporate Center, Indianapolis, IN 46285
Tel: 317.276.1321 Mobile: 317.370.5880 Fax: 317.276.5094

Global Security

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From: Melissa Ann Popa
Sent: Monday, October 14, 2013 10:42 AM
To: Verne Fawver
Subject: Security help needed tomorrow in Texas

Verne –

We are doing an investigation interview tomorrow in Houston, TX. The DM has requested that security be present. The meeting at the hotel is scheduled for tomorrow, Oct 15th at 10:00 CST.

We don't expect that we will be making a termination decision at the end of the meeting; however there are a couple of things that are a bit unique to this case:

We are going to conduct the interview at a local hotel (DM is sending me that information to me in a few minutes) and at the end of that discussion, the DM will follow the rep to his off-site storage unit to check his samples. The security people can be outside the room at the hotel, but at the storage unit, the DM would like the security to be present/visible.

The other concern from the DM is that this EE is a veteran and he has been very clear about suffering from PTSD and is currently seeking treatment for such... I don't have any reason to think they will have to go to his home, but have included his home address just in case.

DM: Julia Ramos
Cell phone: 832-647-4566

EE: Ray Rodriguez
SIs Rep-PASADENA TX DIAB PC
HOUSTON NORTH TX DIAB PC DISTRICT
Mobile: +1-317-410-9049
Home address: 384 N Post Oak Lane
Houston, TX 77024

Address of storage facility:
Store It All Kingwood
22200 Hwy 59 North
Kingwood, TX 77339
218-358-0906

Address to hotel to be forthcoming.

Please let me know what questions you have..... I will touch base with you later today. Thanks!

Melissa

Melissa A. Popa
Consultant – Human Resources – Global Investigations COE
Eli Lilly and Company
Office: 317-276-0950
Mobile: 317-414-6864
Fax: 317-277-7642
Email: mpopa@lilly.com | Web: <http://www.lilly.com>

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On: Apr 22, 2014 At: 9:19:08 AM By: Danyale Wilson

Mrs Melissa Popa - 10/18/13 08:09:52 EST - From: Melissa Ann Popa
Sent: Friday, October 18, 2013 8:08 AM
To: Sonya Clark - Network
Subject: shut off of corporate Visa

Sonya -

Please shut off and cancel Ray Rodriguez's corp visa immediately as he is no longer employed with Lilly. Thanks!

Melissa A. Popa
Consultant - Human Resources - Global Investigations COE
Eli Lilly and Company
Office: 317-276-0950
Mobile: 317-414-6864
Fax: 317-277-7642
Email: mpopa@lilly.com | Web: <http://www.lilly.com>

Mrs Melissa Popa - 10/18/13 08:10:33 EST - From: Melissa Ann Popa
Sent: Thursday, October 17, 2013 4:57 PM
To: Verne Fawver
Subject: Security assistance to collect assets in Houston, TX
Importance: High

Verne -

This afternoon, we did separate Ray Rodriguez from Lilly -- I have shut off his computer access and advised him that security would be in contact with him in the next couple of days to collect his assets. He does have a company car and his samples are in two refrigerators in a storage unit (the security folks were there earlier this week). The conversation did not go well... he was very angry and ended it by hanging up on Juli and I.

Please let me know if you have any additional questions. Thanks!

EE: Ray Rodriguez
Sls Rep-PASADENA TX DIAB PC
HOUSTON NORTH TX DIAB PC DISTRICT
Mobile: +1-317-410-9049
Home address: 384 N Post Oak Lane
Houston, TX 77024

Melissa A. Popa

Mrs Melissa Popa - 10/18/13 08:10:57 EST - From: Melissa Ann Popa
Sent: Thursday, October 17, 2013 1:57 PM
To: Julia Ramos
Subject: Script

Here you go - I will call you at 3:30 to discuss any questions that you may have. Thanks!

Melissa

Mrs Melissa Popa - 10/18/13 08:47:22 EST - 10.17.13
Called 77000 to do emergency shut off of accounts:
TT.INC0043980 and INC0043984

Mrs Melissa Popa - 10/18/13 08:59:05 EST - 10.17.13
Julia Ramos and Melissa Popa [HR] were on the phone with Ray Rodriguez. Juli delivered the message that he was being seperated from Lilly [see attachment script]

Ray inquired about severance - HR advised that because he was being seperated for misconduct, he was eligible for severance.
Ray was angry and stated that his termination was a 'travesty' - he stated that it was 'a lie' that he encouraged someone else to violate Lilly policies.

Advised him that I would be sending him benfit information and he provided me his personal email address and also advised him that security would be in contact to collect his assets.

he ended the call by hanging up the phone.

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On: Apr 22, 2014 At: 9:19:08 AM By: Danyale Wilson

HR advised Juli to call Syreeta Barett to advise her that Ray was no longer with the company before the message goes out to her broader team. We discussed the message to Syreeta including safety information and the offer for her to be connected with our corp security team if she wanted.

Mrs Rene Childers - 10/21/13 09:22:07 EST - I have reviewed the employee's responses and based on what he provided, this case will not be reviewed at PREC.

A violation of the US Policy on Documenting a Sales Call has occurred:

A sales representative should not record any information regarding an appropriate HCP customer's statements, questions, or actions during a sales call outside of an approved sales call recording system.

Mrs Melissa Popa - 10/23/13 09:35:25 EST - From: JooHee Han Dodge
Sent: Tuesday, October 22, 2013 10:48 AM
To: Melissa Ann Popa
Cc: Jamie K Steinmetz
Subject: Alarm event for Ray Rodriguez

Hello Melissa

I work in CIQ with Jamie Steinmetz and she mentioned that you were working on an investigation for sales rep Ray Rodriguez. I sent him a message on 10/17 for some information we need to complete an assessment of his refrigerator alarm event and have not received a response. When attempting to look him up in LillyNet, I was not able to find him.

Jamie mentioned that you may have some information regarding his alarm event – would you be able to share that information with me? Specifically, I am interested in confirming appropriate set-up of his refrigerator per Job Aid instructions as well as information related to continuous monitoring. Or would his DM be available for follow-up and if so, would you be able to provide the DM's name?

Thank you.

JooHee Dodge, Pharm.D.
Associate Consultant - Quality Assurance, US Customer Information Quality
Eli Lilly & Company, Lilly USA, LLC
Phone: (317) 276-6524
Email: dodgejh@lilly.com | Web: <http://www.lilly.com>

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Mrs Melissa Popa - 10/23/13 09:36:34 EST - From: Eers Exited Employees
Sent: Wednesday, October 23, 2013 9:26 AM
To: Melissa Ann Popa
Subject: RE: shut off of corporate Visa

Ray Rodriguez corporate card is terminated.

Sonya Clark|EERS Assistant
EMAIL/PHONE:
Phone + 1-877-305-0969
Fax + 1-317-277-5807
Email: exited_employees_eers@Lilly.com

From: Melissa Ann Popa
Sent: Friday, October 18, 2013 8:08 AM
To: Sonya Clark - Network
Subject: shut off of corporate Visa

Sonya –

Please shut off and cancel Ray Rodriguez's corp visa immediately as he is no longer employed with Lilly. Thanks!

Melissa A. Popa
Consultant – Human Resources – Global Investigations COE
Eli Lilly and Company
Office: 317-276-0950
Mobile: 317-414-6864

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On: Apr 22, 2014 At: 9:19:08 AM By: Danyale Wilson

Fax: 317-277-7642
Email: mpopa@lilly.com | Web: <http://www.lilly.com>

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Mrs Melissa Popa - 10/23/13 09:45:01 EST - -----Original Message-----

From: Melissa Ann Popa
Sent: Wednesday, October 23, 2013 9:19 AM
To: Rene Elizabeth Childers
Subject: RE: Missed call

Rene --

Good morning.... the samples referenced below will be destroyed as the employee is longer with the company and that it the standard procedure given the nature of his departure. I am working back with Jamie's team as well to close the loop on this. Thanks for all of your help on this one. Please let me know if you have any other questions. Thanks!

Melissa

Melissa A. Popa
Consultant - Human Resources - Global Investigations COE Eli Lilly and Company
Office: 317-276-0950
Mobile: 317-414-6864
Fax: 317-277-7642
Email: mpopa@lilly.com | Web: <http://www.lilly.com>

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-----Original Message-----

From: Rene Elizabeth Childers
Sent: Monday, October 21, 2013 9:24 AM
To: Melissa Ann Popa
Cc: Katherine Elizabeth McDaniel
Subject: RE: Missed call

Hi Melissa,

I reviewed the ee responses and based on what he provided, it is not necessary to review the information at PREC. I entered my notes around this and policy violation in the case this morning.

In regards to the samples, was Jamie Steinmetz able to provide the information needed? Because of the shared concerns, I may recommend considering return of the samples rather than redistributing. I am sure quality has provided guidance, but thought it was worthwhile to mention. If I can assist in any way, please let me know.

Thanks, Melissa.

-----Original Message-----

From: Katherine Elizabeth McDaniel
Sent: Monday, October 21, 2013 8:23 AM
To: Rene Elizabeth Childers
Cc: Melissa Ann Popa
Subject: FW: Missed call

Rene-

I didn't do a good job at all of looping back with Melissa (sorry Melissa), as I got interrupted right when I read the attachment. Take a look, but I don't see any evidence of anything that we'll need to take to PREC.

Katie

Katie McDaniel
Ethics & Compliance

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On: Apr 22, 2014 At: 9:19:08 AM By: Danyale Wilson

Lilly USA, LLC
w: 317.651.2996
c: 317.225.9518
f: 317.277.6809

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-----Original Message-----

From: Melissa Ann Popa
Sent: Friday, October 18, 2013 7:55 AM
To: Katherine Elizabeth McDaniel
Subject: RE: Missed call

Sure... I just wanted to follow up with you re: the case I worked on re: the rep who was keeping notes outside of Veeva...I have been working with Rene but I know that she is out of vacation this week. Here are his responses to the questions re: potential off label promotion. Also, I did want to let you know that he is no longer an employee of Lilly. Please let me know if you have any additional questions. Thanks!

Melissa

Melissa A. Popa
Consultant – Human Resources – Global Investigations COE Eli Lilly and Company
Office: 317-276-0950
Mobile: 317-414-6864
Fax: 317-277-7642
Email: mpopa@lilly.com | Web: <http://www.lilly.com>

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-----Original Message-----

From: Katherine Elizabeth McDaniel
Sent: Thursday, October 17, 2013 5:14 PM
To: Melissa Ann Popa
Subject: Missed call

Sorry I missed you. Can we catch up tomorrow?

Thanks!
Katie

Sent from my iPhone

EEO and HR Notes

Mr Michael Postel - 10/22/13 07:41:44 EST - 10/16/2013 - Melissa and I discussed this case on multiple dates. On 10/16, Melissa informed me of the results of the interview with Rodriguez - temp tale monitor had been going off since June, continued to sample, call falsification on dr who was on vacation. I advised I was supportive of separation for misconduct.

10/17/2013 - Melissa and I discussed case with Sandy Sommers, HR Legal. All aligned on separation for several acts of misconduct including failing to monitor his own temp tale alarm, continuing to sample 185 times, encouraging others to ignore the reporting requirements with regard to the temp tell alarm, and falsification for calls reported on dr who was on vacation.

Investigation Summary

Mrs Melissa Popa - 10/18/13 08:38:08 EST - An investigation was conducted in the allegation of a violation of the following policies:
US Policy on Documenting a Sales Call
US Policy on Business Meals with External Parties
US Policy on Promotional Product Samples
The implicated employee, Ray Rodriguez, Sales Representative [Diabetes]; the reporter Syreeta Barrett, Sales Representative [Diabetes] and Julia Ramos, District Sales Manager [Diabetes] were interviewed.
Melanie Smith and Kelsey Miller of the Global Investigations team, Michael Postel from EEO/HR Government Commitments and Sandy Sommers from HR Legal were consulted as part of the investigation.
Expense reports [including sign in sheets and receipts], Call reports/notes from Veeva and OneNote, Data from 2 TempTale monitors and CIQ procedure

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On: Apr 22, 2014

At: 9:19:08 AM

By: Danyale Wilson

documents were reviewed.

The investigation determined that the actions by the employee did result in violations of the following policies:

US Policy on Documenting a Sales Call

US Policy on Business Meals with External Parties

US Policy on Promotional Product Samples

The employee, Ray Rodriguez was separated from Lilly.

Contact History

Type	Direction	From	Date	Description
Telephone Number	Incoming	Ms Julia Ramos	Sep 4, 2013	
Telephone Number	Incoming	Mr Ray Rodriguez	Sep 9, 2013	

Attachments

Attachment Type	Document Name	Description	Uploaded by	Uploaded on
General Documentation	img-904072647-0001.pdf	Email from Ray to Juli	Nancy Dillon	09/04/13 08:22:32 EST
General Documentation	ray expenses July.pdf	July expenses	Melissa Popa	09/20/13 08:40:47 EST
General Documentation	FVM 0724.pdf	July FVM	Melissa Popa	09/20/13 08:41:05 EST
General Documentation	ray program expense July.pdf	Program expense	Melissa Popa	09/20/13 08:41:25 EST
General Documentation	USCIC-TL-413-001-003-Kenmore-Refrigerator-	CIQ training	Melissa Popa	09/20/13 08:41:40 EST
General Documentation	Team compliance coaching 091113.pdf	Team compliance coaching	Melissa Popa	09/20/13 08:41:58 EST
General Documentation	Ray Rodriguez Notes.docx	Notes	Melissa Popa	09/20/13 08:42:28 EST
General Documentation	RE Ray Rodriguez Security Concern.msg	Security concern	Melissa Popa	10/21/13 07:52:57 EST
General Documentation	Copy of Compliance FV Monitoring Form - RR 2013	Compliance form	Melissa Popa	10/08/13 08:51:19 EST
General Documentation	GSW_LD_July2013_My Educator Leave Behind	DBU promotional material	Melissa Popa	10/08/13 08:54:28 EST
General Documentation	FW Question regarding new educator programs	USPromoCompliance email	Melissa Popa	10/08/13 08:54:52 EST
General Documentation	USPromoComplianceDiscussion Guide.docx	Discussion questions	Melissa Popa	10/08/13 08:55:10 EST
General Documentation	Rodriguez_Ddiscussion guideFINAL.docx	Final interview guide	Melissa Popa	10/16/13 15:04:58 EST
General Documentation	Expense Report July 2013.pdf	July 2013 expense report	Melissa Popa	09/30/13 08:29:21 EST
General Documentation	Expense Report Aug 2013.pdf	Expense report August 2013	Melissa Popa	09/30/13 08:29:48 EST
General Documentation	Expense Report July 2013 Tradi.pdf	Expense report 2 2013	Melissa Popa	09/30/13 08:30:07 EST
General Documentation	Dr. Berberian.pdf	Call notes	Melissa Popa	09/30/13 08:30:39 EST
General Documentation	Dr. Thriveni Vellore MD.pdf	Call notes	Melissa Popa	09/30/13 08:30:51 EST
General Documentation	Dr. Dancel .pdf	Call notes	Melissa Popa	09/30/13 08:31:06 EST
General Documentation	Jacinto Group (Baytown).pdf	Call notes	Melissa Popa	09/30/13 08:31:42 EST
General Documentation	RR Expense Summaries.msg	Email	Melissa Popa	09/30/13 08:33:06 EST
General Documentation	EMailfromSyreetaBarrett.msg	Email from SBarrett #1	Melissa Popa	09/30/13 08:35:04 EST
General Documentation	Re 2nd Request follow up.msg	Email from SBarrett #2	Melissa Popa	09/30/13 08:35:18 EST
General Documentation	Killam1.png	Killam1	Melissa Popa	09/30/13 08:36:31 EST

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On: Apr 22, 2014

At: 9:19:08 AM

By: Danyale Wilson

Attachments

General Documentation	Killam2.png	Killam2	Melissa Popa	09/30/13 08:36:42 EST
General Documentation	Fwd Dr. Ali.pdf.msg	Call Notes	Melissa Popa	10/02/13 15:10:27 EST
General Documentation	Fwd Dr. Castillo .pdf.msg	Call Notes	Melissa Popa	10/02/13 15:10:41 EST
General Documentation	Fwd Dr. Gupta.pdf.msg	Call Notes	Melissa Popa	10/02/13 15:10:54 EST
General Documentation	Fwd Dr. Terry.pdf.msg	Call Notes	Melissa Popa	10/02/13 15:11:09 EST
General Documentation	Fwd Dr. Walmsley.pdf.msg	Call Notes	Melissa Popa	10/02/13 15:11:22 EST
General Documentation	Fwd Jacinto Group (Baytown).pdf.msg	Call Notes	Melissa Popa	10/02/13 15:11:36 EST
General Documentation	Plan for Separation.pdf	Seperation script	Melissa Popa	10/18/13 08:11:41 EST
General Documentation	Rodriguez_Ddiscussion guideFINA101813.pdf	FINAL discussion guide complete	Melissa Popa	10/18/13 08:12:01 EST
General Documentation	Follow up notes.pdf	Follow up notes for US Promo Compliance	Melissa Popa	10/18/13 08:12:23 EST
General Documentation	Benefit information.msg	Rodriguez fbenefits email	Melissa Popa	10/18/13 08:46:06 EST
General Documentation	RodriguezTempTale1.pdf	TempTale Report	Melissa Popa	10/16/13 11:45:36 EST
General Documentation	Rodriguez TempTale2.pdf	Temp Tale Report	Melissa Popa	10/16/13 11:45:50 EST
General Documentation	Ray Rodriguez Temptale monitor documents.msg	Ramos Email	Melissa Popa	10/16/13 11:46:07 EST

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Rodriguez v. Eli Lilly and Company, *et al.*

Declaration of Melissa A. Popa

Exhibit 4

Interaction	
Interaction Details	
Account	RONALD KILLAM
Location	--None--
Sample Status	
Address	13111 EAST FWY, STE 303, HOUSTON, TX 77015
Interaction Details	
Record Type	Interaction
Interaction Type	Detail Only
Interaction Id	I017070740
Status	Submitted
Signature Date	8/20/2013, 2:41 PM
Owner	Ray Rodriguez
Detailing Order - Follow business guidance on proper detail order	
1. TRADJENTA-DPP4	
2. JENTADUETO-TOTAL	

Rodriguez v. Eli Lilly and Company, *et al.*

Declaration of Melissa A. Popa

Exhibit 5

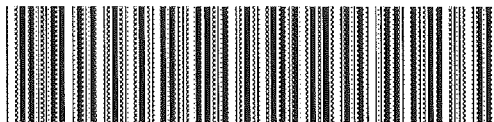
TEA002798153 HCP expenses for Duarte, Rios, and Daumas

Monday, February 16, 2015

3:15 PM

Travel & Expense Account
Transmittal Page

TEA002798153



SUBMIT RECEIPTS TO	SUMMARY INFORMATION
Fax Number 571-223-2714 (United States)	Name Roy A Rodriguez
InterCompany Address	Employee number 0607262
	Expense dates 06/26/13-07/24/13
	Total Expenses \$152.21 USD
	Credit card remittance \$152.21 USD
	Amount due Employee 0.00 USD
International Receipts - FAX then mail	Form ID TEA002798153
ELI LILLY & COMPANY	Approver Julia Ramos
GEN. DISB. DC 1054	Business Purpose
LILLY CORPORATE CENTER	
INDIANAPOLIS, IN 46285	

DIRECTIONS FOR SUBMISSION

Fax the receipts and other appropriate documentation with this page. Do not attach other cover sheets.

Do NOT include unused (partially or wholly) airline tickets. Return ALL unused tickets to your travel agency.

US Employees: International expenses only. FAX THIS PAGE WITH RECEIPTS THEN MAIL THE ORIGINAL RECEIPTS TO THE ABOVE ADDRESS.

REQUIRED RECEIPTS				
Rec. #	Date	Receipt Item	Amount	If not submitted - Explain
1)	06/27/13	Receipt Required		
2)	07/18/13	Receipt Required		
3)	07/24/13	Receipt Required		
4)	06/27/13	HCP in-office business meal/snack	325.56 USD	
5)	07/18/13	HCP in-office business meal/snack	293.90 USD	
6)	07/24/13	HCP in-office business meal/snack	207.89 USD	

Ref: TEA002798153

Page 1

Printed on 02/16/15

Travel & Expense Account Employee and Expense Summary

REPORT INFORMATION		REPORT TOTALS	
Name	Ray A Rodriguez	Report Total	\$152.21 USD
Employee number	0607162	Company Paid + Non-Reimbursable	0.00 USD
Form ID	TEA002798153	Total Amount Due Employee	\$152.21 USD
Approver	Julia Ramos	Credit card remittance	\$152.21 USD
Business Purpose		Amount due Employee	0.00 USD

**** Charges are in USD unless otherwise noted**

EXPENSE DATA SUMMARY							
Date	Expense Item	Amount	Payment Type	Country	Ex. Rate	Charge to	USD
06/26/13	Parking/Tolls	4.00	Corporate Card	United States (US)	1.00		4.00
06/27/13	HCP in-office business meal/snack	325.56	Corporate Card	United States (US)	1.00		325.56
06/29/13	Company Car [Wash]	16.00	Corporate Card	United States (US)	1.00		16.00
07/01/13	Copies/Fax	14.73	Corporate Card	United States (US)	1.00		14.73
07/01/13	Storage	133.00	Corporate Card	United States (US)	1.00		133.00
07/09/13	Parking/Tolls	40.00	Corporate Card	United States (US)	1.00		40.00
07/10/13	Dedicated business cellular phone	80.00	Corporate Card	United States (US)	1.00		80.00
07/10/13	Copies/Fax	16.13	Corporate Card	United States (US)	1.00		16.13
07/15/13	HCP in-office business meal/snack	293.90	Corporate Card	United States (US)	1.00		293.90
07/24/13	Company Car [Wash]	16.00	Corporate Card	United States (US)	1.00		16.00
07/24/13	HCP in-office business meal/snack	207.89	Corporate Card	United States (US)	1.00		207.89

Charge to	
Charge to:	Default Cost Center/Cost element
Cost Center:	7032833

Ref: TEA002798153

Page 2

Printed on 02/16/15

**Travel & Expense Account
Expense and Miscellaneous Detail**

EXPENSE DETAIL SUMMARY						
Date	Expense Item	Amount	Expense is	Business Purpose	Category	Receipt Required
06/26/13	Parking/Tolls	4.00	Reimbursable			No
06/27/13	HCP in-office business meal/snack	325.56	Reimbursable			Yes
06/29/13	Company Car (Wash)	16.00	Reimbursable			No
07/01/13	Copies/Fax	14.73	Reimbursable			No
07/01/13	Storage	133.00	Reimbursable			No
07/09/13	Parking/Tolls	49.00	Reimbursable			No
07/10/13	Dedicated business cellular phone	30.00	Reimbursable			No
07/15/13	Copies/Fax	16.13	Reimbursable			No
07/18/13	HCP in-office business meal/snack	293.90	Reimbursable			Yes
07/24/13	Company Car (Wash)	16.00	Reimbursable			No
07/24/13	HCP in-office business meal/snack	207.89	Reimbursable			Yes

HCP in-office business meal/snack	
Date:	06/27/13
Amount:	325.56
City:	TX,HOUSTON
Business Purpose:	
# Attendees/Recipient:	20
# Non-HCPs:	16
Attendees/Recipient:	Rodriguez, Ray A. DUARTE, SARME E (MD); MONCAYO, SOFIA P (MD); MONCAYO, RAFAEL E (MD)
Product Focus:	Humalog(50%), Tradjenta(50%)

HCP in-office business meal/snack	
Date:	07/18/13
Amount:	293.90
City:	TX,HOUSTON
Business Purpose:	
# Attendees/Recipient:	20
# Non-HCPs:	15
Attendees/Recipient:	Rodriguez, Ray A. DAI, ZHENAO (MD); CARRERO, ANGELA (MD); RIOS, FELIPE (MD); SALCEDO, EVA S (MD)
Product Focus:	Humalog(50%), Tradjenta(50%)

HCP in-office business meal/snack	
Date:	07/24/13
Amount:	207.89
City:	TX,HOUSTON
Business Purpose:	
# Attendees/Recipient:	9
# Non-HCPs:	6
Attendees/Recipient:	Rodriguez, Ray A. DAUMAS, LILETTE (MD) Eancoa, Julia
Product Focus:	Humalog(50%), Tradjenta(50%)

Ref: TEA002798153

Page 3

Printed on 02/16/15

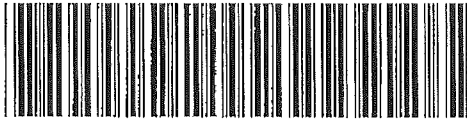
Rodriguez v. Eli Lilly and Company, *et al.*

Declaration of Melissa A. Popa

Exhibit 6

Travel & Expense Account
Transmittal Page

TEA002798153



SUBMIT RECEIPTS TO

Fax Number
571-223-2714 (United States)

InterCompany Address

International Receipts - FAX then mail
ELI LILLY & COMPANY
GEN. DISB. DC 1054
LILLY CORPORATE CENTER
INDIANAPOLIS, IN 46285

SUMMARY INFORMATION

Name	Ray A Rodriguez
Employee number	0607262
Expense dates	06/26/13-07/24/13
Total Expenses	1152.21 USD
Credit card remittance	1152.21 USD
Amount due Employee	0.00 USD
Form ID	TEA002798153
Approver	Julia Ramos
Business Purpose	

DIRECTIONS FOR SUBMISSION

Fax the receipts and other appropriate documentation with this page. Do not attach other cover sheets.
Do NOT include unused (partially or wholly) airline tickets. Return ALL unused tickets to your travel agency.
US Employees: International expenses only. FAX THIS PAGE WITH RECEIPTS THEN MAIL THE ORIGINAL RECEIPTS TO THE ABOVE ADDRESS.

REQUIRED RECEIPTS

Rec. #	Date	Receipt Item	Amount	If not submitted - Explain
1)	06/27/13	Receipt Required		
2)	07/18/13	Receipt Required		
3)	07/24/13	Receipt Required		
4)	06/27/13	HCP in-office business meal/snack	325.56 USD	
5)	07/18/13	HCP in-office business meal/snack	293.90 USD	
6)	07/24/13	HCP in-office business meal/snack	207.89 USD	

VTReceipt

RX CATERING HOUSTON
9203 STELLA LINK RD
HOUSTON, TX 77025
7134109091

Date: 6/27/2013 Time: 9:02:19 AM [CDT]

Trans Type: RepeatSale
Customer ID: RaymondR

Transaction #: 116030273
Name: Raymond A Rodriguez
Account: *****9370
Exp Date: *****
Card Type: VISA
Entry: Manual
AuthCode: 066288
Result: Approved
Message: APPROVAL
Batch Number: 432
Amount: \$325.56

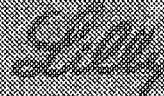
Tip Amt: -----

Total Amt: -----

I Agree to Pay Above Total
Amount According to Card
Issuer Agreement (Merchant
Agreement if Credit Voucher)

Signature X_____

Business Meal Provided By Eli Lilly and Company



Answers That Matter.

By collecting the following information from you at the time of the event, Lilly hopes to prevent any inaccurate food and beverage transfer of value reporting required by applicable state and federal government requirements - making it less likely you'll need to spend your time reviewing our published reports for accuracy or requesting corrections.

Attendee Name (Printed) If you are currently licensed in MA, VT or MN, please speak with your Lilly Representative	Attendee Signature	Professional Designation (e.g. MD, DO, RN, RPH, Office Manager etc.)	Acceptance of Business Meal (Yes/No or No Show)
1 Silvia Gutierrez	Silvia Gutierrez	Manag. Asst.	Yes
2 Edgar Guzman Juarez	EG	MD	Yes
3 Sonia Norcayo	[Signature]	MD	Yes
4 JANE DIAZ	[Signature]	MD	YES
5 Miguel Rodriguez	[Signature]	PD	yes
6 Paulina D. Tobias	[Signature]	MA	yes
7 Jessica Salinas	[Signature]	MA	YES
8 Bianca Camacho	[Signature]	MA	yes
9 Jessica Zepeda	[Signature]	MA	YES
10 Cristina Lara	[Signature]	front desk	yes
11 Laura Lara	[Signature]	front desk	Yes
12 Elizabeth Otero	[Signature]	MA	yes
13 Wendy Jackson	[Signature]	MD	yes
14 Jaime Gonzalez	[Signature]	front desk	yes

(This section to be completed by Lilly Personnel Only)

Meal Location	e.g. Dr. Smith's office or name of restaurant	City & State
Total Meals Not for MD, DO, NP, PA, RPH or Lilly Attendees	Total Meals for Prescribers (MD, DO, NP, PA, or RPH) and Lilly Attendees	
Date & Time		

TX CATERING HOUSTON
9203 STELLA LINK RD
HOUSTON, TX 77025
7134109091

Date: 7/18/2013 Time: 9:35 AM CDT

Trans Type:	RepeatSale
Customer ID:	RaymondR
Transaction #:	118573313
Name:	Raymond A Rodriguez
Account:	*****9370
Exp Date:	****
Card Type:	VISA
Entry:	Manual
AuthCode:	080141
Result:	APPROVED
Message:	APPROVAL
Batch Number:	446
Amount:	\$293.90

Tip Amt: -----

Total Amt: -----

I Agree to Pay Above Total
Amount According to Card
Issuer Agreement (Merchant
Agreement if Credit Voucher)

Signature X: _____

Business Meal Provided By Eli Lilly and Company

Eli Lilly

Answers That Matter.

By collecting the following information from you at the time of the event, Lilly hopes to prevent any inaccurate food and beverage transfer of value reporting required by applicable state and federal government requirements – making it less likely you'll need to spend your time reviewing our published reports for accuracy or requesting corrections

Attendee Name (Printed)	Attendee Signature	Professional Designation (e.g. MD, DO, RN, RPH, Office Manager etc.)	Acceptance of Business Meal (Yes/No or No Show)
If you are currently licensed in MA, VT or MN, please speak with your Lilly Representative			
1 Amanda Ballarido	A Ballarido		
2 Brenda Ramirez	Brenda Ramirez		
3 Miraya Corant	Miraya Corant	MD	
4 Blanca Hernandez	Blanca Hernandez		
5 Kabe/Velazquez	Kabe/Velazquez	MD	
6 Eva Saez	Eva Saez	MD	
7 Elvia Garzon	Elvia Garzon	PharmD	
8 Jamie Pace	Jamie Pace		
9 Leah Phil	Leah Phil		
10 Maria Lopez	Maria Lopez	PharmD	
11			
12			
13			
14			

Section to be completed by Lilly Personnel Only

Meal Location e.g. Dr. Smith's office or name of restaurant	Rios		City & State
Total Meals Not for MD, DO, NP, PA, RPh or Lilly Attendees	Total Meals for Prescribers (MD, DO, NP, PA, or RPh) and Lilly Attendees		
Date & Time			

13000 CADET BLVD HOUSTON
HOUSTON, TX 77025
1104109091

Date: 7/24/2013 Time: 8:01 AM CDT

Trans Type:	RepeatSale
Customer ID:	RaymondR
Transaction #:	119252949
Name:	Raymond A Rodriguez
Account:	*****9370
Exp Date:	****
Card Type:	VISA
Entry:	Manual
AuthCode:	031545
Result:	APPROVED
Message:	APPROVAL
Batch Number:	451
Amount:	\$207.89

Tip Amt: _____

Total Amt: _____

I Agree to Pay Above Total
Amount According to Card
Issuer Agreement (Merchant
Agreement if Credit Voucher)

Signature X _____

Disclosure Form Provided By Eli Lilly and Company

Answers That Matter.

By collecting the following information from you at the time of the event, Lilly hopes to prevent any inaccurate food and beverage transfer of value reporting required by applicable state and federal government requirements — making it less likely you'll need to spend your time reviewing our published reports for accuracy or requesting corrections.

Attendee Name (Printed) If you are currently licensed in MA, VT or MN, please speak with your Lilly Representative	Attendee Signature	Professional Designation (e.g. MD, DO, RN, RPH, Office Manager etc.)	Acceptance of Business Meal (Yes/No or No Show)
1 Ron Britsch	<i>Ron Britsch</i>	OM	
2 Rosa Hernandez	<i>Rosa Hernandez</i>	MA	
3 LILETTE DAUMAS			
4 Daniela Herrera	<i>Daniela Herrera</i>		
5 Lydia Garcia	<i>Lydia Garcia</i>		
6			
7			
8			
9			
10			
11			
12			
13			
14			

This section to be completed by Lilly Personnel Only

Meal Location	e.g. Dr. Smith's office or name of restaurant	<i>Dr. D...</i>		City & State
Total Meals Registered	Total Meals Not for MD, DO, NP, PA, RPH or Lilly Attendees		Total Meals for Prescribers (MD, DO, NP, PA, or RPH) and Lilly Attendees	
Program ID # (if applicable)	Date & Time			
Lilly Representative / Authorized Signatory (Printed)				